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ABSTRACT

This annual report on the comprehensive five-year program for the enhancement of libraries in New York State achieves the following: (1) provides a benchmark for the continuing planning, development, and evaluation of state library services; (2) summarizes the objectives, policies, and programs undertaken for the improvement of those services; (3) serves as a guide to library networks, regional planning groups, and other agencies that wish to participate in the Federal Library Services and Construction Act (LSCA) program; and (4) meets the LSCA requirements. An overview of the state library environment is offered; library systems and networks are profiled; statewide resource sharing and technological change are summarized; constraints on services are outlined; and the program's goals and objectives are discussed. Tables provide summary statistics on public, academic, school, institution, and medical libraries; the New York State Library; public library systems; systems and libraries by region; and state appropriations for higher education. A 23-item bibliography of major documents for the New York State library service program and lists of New York members of the LSCA Advisory Council and the Regents Advisory Council on Libraries are also provided. "LSCA Program Purposes--Needs and Intended Actions" and "Policy Guidelines on the Administration of LSCA Funds 1987-88" are included as supplements. (KM)

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library service

to the people of New York State

a long-range program

The University of the State of New York
The State Education Department
Albany, New York 12230

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LIBRARY SERVICE to the PEOPLE OF NEW YORK STATE

A Long-Range Program
October 1, 1987 – September 30, 1992
for the
Improvement of Library Services Utilizing
Local, State, and Federal Resources
Adopted by The Board of Regents
March 20, 1987

The University of the State of New York
The State Education Department
The New York State Library
Cultural Education Center
Albany, New York 12230
1987

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The Long-Range Program: Ideas From Many, Uses By Many

This is the tenth edition of *Library Service to the People of New York State*, a comprehensive five-year program for the improvement of library services in New York State. This document is revised each year and is intended to:

- Provide a benchmark for the continuing planning, development, and evaluation of library services in New York State.
- Summarize for the Board of Regents, the State Education Department, New York State libraries, agencies and organizations with an interest in library services, and interested citizens of the State, the objectives, policies, and programs undertaken for the improvement of library services, particularly those that the Federal Library Services and Construction Act (LSCA) program helps finance.
- Serve as a guide to library systems, regional planning groups, and other agencies that wish to participate in some way in the LSCA program.
- Meet the requirements of the Federal Library Services and Construction Act and the regulations of the U.S. Secretary of Education under that act.

Staff of the New York State Library and members of the LSCA Advisory Council have prepared this document (and its earlier versions) over the last several years. Others who review and contribute to this document are, within the State Education Department, the Commissioner of Education, the Executive Deputy Commissioner of Education, and the Deputy Commissioner for Cultural Education, and an LSCA Administrative librarian in the U.S. Department of Education. This long-range program is approved by the Board of Regents of The University of the State of New York.

The State Education Department and all associated with the library development program recognize the need for continuous evaluation and planning. This principle is observed in publications and action. Six basic policy documents for today's library service program in New York State are: *The Regents Long-Range Plan for the Office of Cultural Education; Meeting Information Needs of the 80's* (the 1981 Report of the Commissioner's Committee on Statewide Library Development); the *Long-Range Program*; the *LSCA Annual Program Statements; Major Recommendations of the Regents for Legislative Action*; and *Federal Legislation and Education in New York State*.

The Libraries of New York State and Their Environment

Libraries — An Overview

Libraries have played a major role in New York State throughout its history. Most New York State communities support a public library. Many such libraries date back to the middle and early 1800s. Among them are public and private institutions that were founded and developed through gifts, bequests, and endowments. Some are of national and international repute and help establish library and information services as a major resource of the State.

In addition to these public libraries, the State has educational and academic institutions with library collections of great size and excellence. The State itself has supported a State Library since 1818. This vast research library is today the country's leading state library, with a collection of two million volumes and millions of documents, manuscripts, maps, and other items. State-level library extension and development programs antedate this century and, under the leadership of the Regents and the Education Department, are exemplary for the nation.

During the last 30 years, the development of communication technology and the information explosion have multiplied demands on public libraries. These libraries, and libraries of all types, have been changing in response to increasing demands by a better educated citizenry.

New York State's libraries draw researchers from throughout the nation and the world. They are leaders in the development of innovative services, and the State's library systems were among the first in the nation. Much of the new technology for storage, retrieval, and communication of information was conceived in New York.

The following facts about libraries and library systems in New York State are notable:

- New York State has some 7,600 libraries — public, academic, school, special and institution — with 176 million books, films, pictures and manuscripts, 11,490 librarians, 14,600 other employees, and annual operating expenditures of $786 million.
- Responsibility for library services rests with the Board of Regents of The University of the State of New York, empowered by the State Constitution to direct educational activities.
- An outstanding regional public library program, composed of 22 systems, demonstrates that coordination of services and functions through cooperation can result in better service for users.
- Nine regional reference and research library resources systems share resources to meet the reference and information needs of college and university graduate students and faculty, members of the professions, special library users, school students, and other clientele.
- Academic library resources of 268 colleges and universities, other postsecondary schools in the State, and collections of The New York Public Library Research Libraries are a major part of the State's total library resources.
- Forty-six school library systems; school libraries in more than 95 percent of the public

elementary and secondary schools, and in more than 75 percent of the nonpublic schools serve learners and teachers throughout the State.

- Unparalleled special library resources in corporations, cultural institutions, voluntary associations, business, and government agencies are available to both special and general clientele.
- NYSILL – the State's first major service linking libraries of all types – is the most fully developed statewide interlibrary loan network in the nation.
- The medical library network, one of the nation's most comprehensive information resources in the health field, includes the twelve medical schools and many leading health care and research institutions throughout the State and it cooperates with the State Library and library systems in providing information to researchers, practitioners, and the public.
- The State provides substantial aid to support library systems and to provide incentives for resource sharing.
- The New York State Library is both a great research library and the library development agency for the State. It is the country's only state library that qualifies for membership in the prestigious Association of Research Libraries.

To provide access and increased services and to meet the informational, cultural, and recreational needs of all the people of the State, a comprehensive program involving all types of libraries is required. Parts of this program are already in place. Others are being developed as library planners work with legislation, rapidly developing technologies, and a changing environment of information services.

The role of libraries is altered by the need for lifelong learning, the increase in leisure time, and our "information society." Today, libraries supply information in a wide range of formats including printed materials, microforms, computer software, recordings, films, discs, and videotapes. Diverse clienteles come to libraries in search of information and learning, new ways to use leisure time more profitably, and materials which help them to find their roots. Demand has also increased for research-level materials from postsecondary education, high technology industry, Federal, state and local governments, business, and industry. As the ways to identify resources have multiplied, the demand for access to these resources has accelerated.

State Government

Education in New York State is under the direction of the Board of Regents, whose powers are provided for in the State Constitution.

The Board of Regents consists of 16 members (1 from each of the State's 12 judicial districts, and 4 elected at large), each elected for a term of seven years. The Commissioner of Education, appointed by the Board of Regents, is the chief educational administrator and President of The University of the State of New York, which encompasses all of the educational activities of the State. The Board of Regents and the Commissioner determine broad policy and standards for all education in New York State.

Under the Deputy Commissioner for Cultural Education, the Assistant Commissioner for Libraries and State Librarian administers the State Library and is the chief library officer for the State. The New York State Library is comprised of two major units: The Library, and the Division of Library Development.

The Bureau of School Library Media Programs is within the Division of General Education, under the Deputy Commissioner for Elementary, Secondary and Continuing Education. Staff of this bureau cooperate with staff of the Library Development Division in library development programs. School library system development is the responsibility of a Department implementation team headed by the Assistant Commissioner for Libraries, assisted by

the Director of the Library Development Division, and the Chief of the Bureau of School Library Media Programs.

The Legislative Branch of government includes the Senate of 61 members and the Assembly of 150 members. The Legislature elects the members of the Board of Regents, formulates State Education Law, and appropriates funds for the State Education Department and library programs. Library legislation is considered by the Assembly Subcommittee on Libraries (reporting to the Assembly Higher Education Committee) and the Senate Subcommittee on Libraries (reporting to the Senate Education Committee).

The Executive Branch of government includes the Governor and State departments and agencies. The Governor, through the Division of the Budget, prepares the State budget and submits it to the Legislature each January. General oversight of State funds is the responsibility of the Department of Audit and Control, headed by the State Comptroller, an elected official.

The Judicial Branch includes all State courts. The courts may decide legal questions relating to libraries and may decide appeals (under specific circumstances) from decisions of the Commissioner of Education.

SUMMARY OF LIBRARY STATISTICS – 1985

	Total Number	Total Volumes	Professional Staff	Support Staff	Total Operating Expenditures	Expenditures Salary	%	Expenditures Materials	%
Public[a]	733	55,654,602	3,631	6,948	$383,219,462	$242,325,822	63%	$ 55,576,081	15%
Academic[b]	263	60,533,593	2,641	3,548	241,824,963	NA	NA	66,527,640	28%
School[c]									
Public	3,973	41,787,940	3,335	3,492	125,517,769	93,889,158	75%	16,946,332	14%
Nonpublic	1,741	10,218,240	1,389	NA	NA	NA	NA	NA	NA
Institution[d]	165	906,803	70	92	3,206,232	2,155,985	67%	841,223	26%
Medical[e]	197	4,732,750	333	432	23,366,001	NA	NA	7,929,311	34%
New York State Library[f]	1	1,978,860	95	127	8,563,528	4,321,880	50%	1,869,686	22%
TOTAL	7,073	175,812,788	11,494	14,639	$785,697,955	$342,692,845	44%	$149,690,273	19%

[a] *Public and Association Libraries Statistics 1985*
[b] *Selected Statistics on Postsecondary Libraries in New York State, Fall 1985* and Fiscal Year 1984-85 data, October 1986
[c] SED Information Center on Education, Public/Nonpublic school library statistics, 1985-86
[d] *Institution Libraries Statistics 1984/85*
[e] *A Directory of Medical Libraries in New York State, 1985*
[f] New York State Library: 1986 and 1985-86 ARL Questionnaire
NA – Data not available

New York State Library
October 1986

A popular Government, without popular information, or the means of acquiring it, is but a Prologue to a Farce or a Tragedy; or, perhaps both. Knowledge will forever govern ignorance: And a people who mean to be their own Governors must arm themselves with the power which knowledge gives.

–James Madison
1822

Libraries, Library Systems and Networks

Some 7,600 libraries serve the people of New York State. Many of these libraries are linked with others in resource sharing systems and networks. These libraries have book collections of some 171 million volumes. Brief summary data on the several types of libraries are shown in the table on the preceding page.

Public Libraries. The people of New York State are served by 733 chartered public libraries and over 390 branch libraries. Of these chartered libraries, 730 are members of the 22 public library systems. Some 63 percent of the libraries (463) in the State are small, serving fewer than 7,500 population. Only 105 of the libraries (and almost half of these are located on Long Island) serve a population of 25,000 or more. The three public libraries in New York City, (the Brooklyn, The New York and the Queens Borough public libraries) serve more than 40 percent of the population of the State.

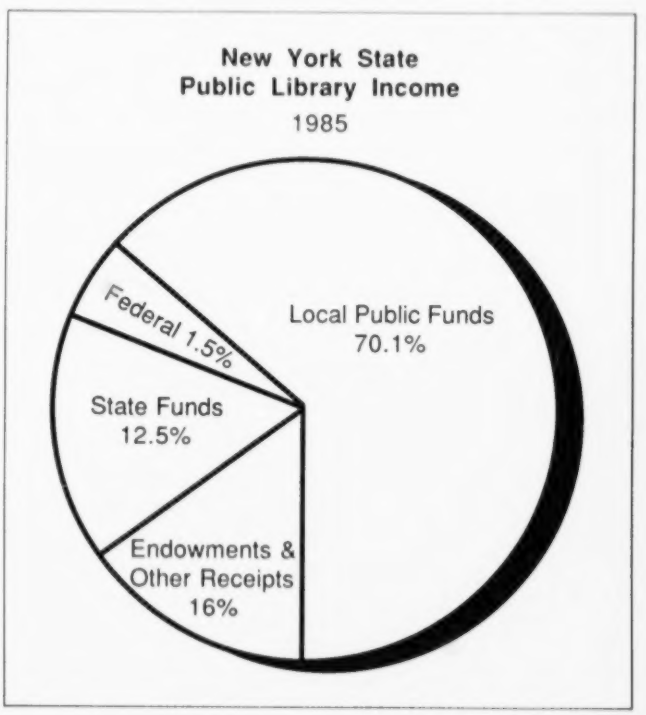
In 1985 the total public library operating expenditure in New York State was $383 million. The main financial support for public libraries in New York State (an average of 70 percent) comes from local public funds ($274 million in 1985). The average per capita expenditure for public library service (including that for public library systems) in 1985 was $21.83.

The Regents of The University of the State of New York charter (i.e., incorporate) the public libraries. A library serves a village, town, city, county, school district, a combination of these units, or in exceptional cases a special library district established by the Legislature. These libraries are subject to State Education Law and to the Regulations of the Commissioner of Education.

A board of trustees governs each library, with specific powers and responsibilities under Education Law. Each public library board is autonomous. The four major types of public libraries (and the number in the State) are:

Municipal (209). Created by a village, town, city, or county government (5-11 trustees appointed by local government).

Association (392). Created by a membership association. Contracts with a unit of government or a school district to provide library services (5-25 trustees elected by the membership of the association).



School district (123). Created by vote of the school district electorate or a city board of education (5-11 trustees elected by the voters of the district or appointed by a city board of education).

Special district (9). Created by the State Legislature to serve a part of one or more municipalities. Appointment of trustees varies, depending on the legislation that established the districts.

Public Library Systems. The 22 public library systems authorized by Education Law (dating back to 1950) have as members all but 3 of the 733 public libraries in the State. The Board of Regents charters the public library systems, which operate under plans of service approved by the Commissioner of Education.

Typical functions of a public library system are: coordination of services and functions through cooperation; extension of service to all parts of the area; cooperative development of central library collections; education and in-service training; experimentation and evaluation; resource sharing through union catalog services, loan of film and video materials, interlibrary loan, interface with NYSILL, and delivery service; and program development.

State support for public library services is made available through the 22 public library systems. In 1987, this support amounts to $56.6 million. Of this sum, $7.7 million is earmarked as Local Library Incentive Aid to be shared with all member libraries and $6.3 million is designated for the central library programs. The remainder is expended by the systems for programs and support services reinforcing local libraries. The statutory formula for State aid to public libraries establishes the amounts which the State Education Department distributes to the systems. The formula includes:

per capita payments	$ 14.4 million
reimbursement for library materials expenditures	10.5 million
payments based on square miles served	2.6 million
payments based on number of counties served	1.5 milion
central library aid	6.3 million
local library incentive aid	7.7 million
earmarked aid for The Research Libraries, NYPL	5.6 million
earmarked aid for Brooklyn, Buffalo & Erie, Nassau	.4 million
coordinated outreach	2.7 million
aid for services to State-operated correctional facilities	.3 million

System payments in 1987 range from $876,360 to Clinton-Essex-Franklin Library System (population 161,855) to $13.8 million to The New York Public Library (population served, 2,949,470). The latter payment includes $5.6 million specifically earmarked for the Research Libraries.

There are four types of public library systems in New York State. A *consolidated system* is chartered as a single entity under a board of trustees; all libraries are branches of the main library. These include the Brooklyn Public Library, The New York Public Library and the Queens Borough Public Library.

A *federated system* is created by action of the board or boards of supervisors or legislature of the county or counties involved, while the members

PUBLIC LIBRARY SYSTEMS PROFILE I: MEMBERSHIP, RESOURCES AND USE, 1985

	Type	Population 1980 Census	Square Miles	Number of Counties	Number of Members	Total Holdings	Per Capita Holdings	Total Circulation	Per Capita Circulation
Brooklyn	C	2,230,844	70	1	1	4,377,995	1.96	9,093,759	4.08
Buffalo-Erie	F	1,015,472	1,046	1	24	4,097,860	4.04	5,848,660	5.76
Chautauqua-Cattaraugus	Co	232,622	2,370	2	34	1,130,843	4.86	1,839,598	7.91
Chemung-Southern Tier	Co-F	267,760	3,507	5	36	1,241,306	4.31	1,418,555	4.93
Clinton-Essex-Franklin	F	161,855	4,491	3	29	794,444	4.91	796,050	4.92
Finger Lakes	Co	299,344	2,519	5	29	839,212	2.80	1,347,993	4.50
Four County	Co	368,891	4,052	4	43	1,352,373	3.67	2,456,984	6.66
Mid Hudson	Co	549,962	2,948	4.8	64	1,493,710	2.72	2,232,219	4.06
Mid York	Co	385,330	3,292	3	43	1,418,820	3.68	1,858,029	4.82
Mohawk Valley	Co	288,248	1,730	4	13	969,208	3.36	1,247,813	4.33
Nassau	Co	1,321,582	287	1	54	7,960,528	6.02	11,524,241	8.72
New York	C								
– Branch Libraries		2,949,470	123	3		8,625,131	2.92	9,557,753	3.24
– Research Libraries		7,071,6391	3021			29,081,935	4.11	–	
Nioga	Co	325,250	1,412	3	21	1,289,486	3.96	1,619,198	4.98
North Country	Co	341,341	6,239	4	64	1,240,052	3.63	1,544,073	4.52
Onondaga	F	463,920	785	1	21	1,463,419	3.15	2,708,327	5.84
Pioneer	Co-F	972,629	3,140	5	60	3,303,227	3.40	7,130,917	7.33
Queens	C	1,891,325	109	1	1	8,036,961	4.25	10,261,806	5.43
Ramapo Catskill	Co	615,080	2,481	3.2	46	2,078,033	3.38	3,256,089	5.29
Southern Adirondack	Co	268,442	4,250	4	29	923,545	3.44	1,264,157	4.71
Suffolk	Co	1,284,231	912	1	54	6,446,350	5.02	11,425,992	8.90
Upper Hudson	Co	437,875	1,178	2	25	1,490,935	3.40	2,110,834	4.82
Westchester	Co	866,599	438	1	38	4,579,008	5.28	5,980,516	6.90
TOTAL		17,558,072	47,379	62	730	94,234,381	5.37	96,523,563	5.50

[1] not included in totals

C – Consolidated; F – Federated; Co – Cooperative; Co-F – Co-federated

Source: *Public and Association Libraries Statistics 1985*

New York State Library
October 1986

(legally chartered libraries) retain their own independent boards. Clinton-Essex-Franklin Library System, Onondaga County Public Library, and Buffalo and Erie County Public Library are federated library systems.

A *cooperative system* is an association created by agreement of the boards of chartered member libraries, which retain their autonomy. There are 14 cooperative systems: Chautauqua-Cattaraugus; Finger Lakes; Four County; Mid-Hudson; Mid-York; Mohawk Valley; Nassau; Nioga; North Country; Ramapo Catskill; Southern Adirondack; Suffolk Cooperative; Upper Hudson; and Westchester.

Chemung-Southern Tier and the Pioneer Systems are sometimes identified as *co-federated* library systems. The Chemung-Southern Tier system was formed as a confederation of the Steele Memorial Library of Chemung County System (a federated system) and the Southern Tier Library System (cooperative). The Pioneer Library System is a confederation of the Livingston (federated), Monroe (federated), Ontario (cooperative), Wayne (federated) and Wyoming (cooperative) county library systems.

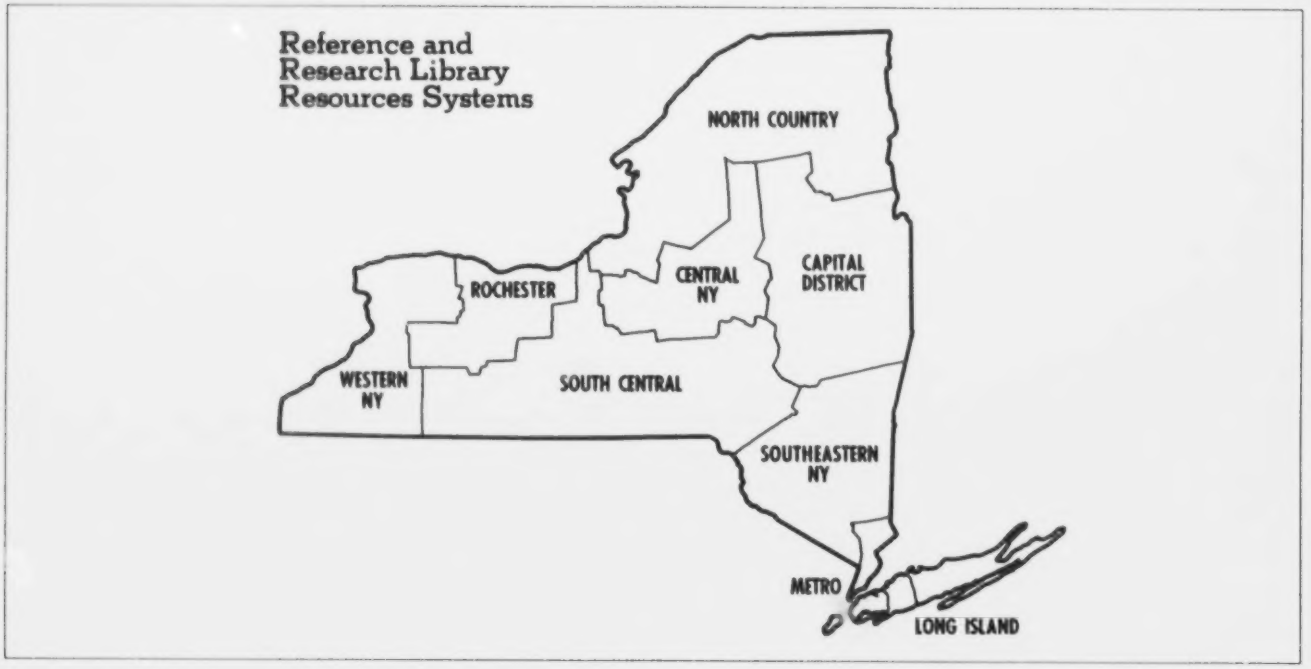
Member library boards elect the boards of trustees of cooperative systems. The parent governmental units of consolidated and federated library systems appoint their boards. Each library system has a legally designated central library or co-central libraries from which member libraries receive systemwide reference and interloan services.

PUBLIC LIBRARY SYSTEMS PROFILE II: FINANCIAL SUPPORT 1985

System	Total Support	Per Capita Support	Total Expenditures	Per Capita Expenditures	State Aid	Per Capita State Aid
Brooklyn	$ 35,245,731	$15.80	$34,988,932	$15.68	$ 4,791,021	$2.15
Buffalo-Erie	15,257,180	15.02	15,934,670	15.69	1,742,346	1.72
Chautauqua-Cattaraugus	3,581,232	15.40	3,716,841	15.98	1,081,687	4.65
Chemung-Southern Tier	3,840,506	13.35	3,734,405	12.98	1,054,712	3.67
Clinton-Essex-Franklin	2,025,681	12.52	2,212,543	13.67	983,312	6.08
Finger Lakes	2,926,371	9.78	3,107,364	10.38	929,806	3.11
Four County	5,332,624	14.46	4,944,788	13.40	1,387,957	3.76
Mid-Hudson	6,044,743	10.99	6,440,442	11.71	1,452,215	2.64
Mid-York	4,206,723	10.92	4,018,373	10.43	1,137,303	2.95
Mohawk Valley	3,608,481	12.52	3,757,902	13.04	883,591	3.07
Nassau	47,516,927	35.95	51,192,418	38.74	2,837,322	2.15
New York						
– Branch Libraries	55,110,712	18.68	55,110,712	18.68	7,120,441	2.41
– Research Libraries	48,077,155	6.80	48,077,155	6.80	5,298,748	0.75
Nioga	4,131,264	12.70	4,436,304	13.64	876,175	2.69
North Country	3,523,502	10.32	3,678,521	10.78	1,201,138	3.52
Onondaga	8,088,302	17.43	9,444,180	20.36	1,017,353	2.19
Pioneer	15,384,312	15.82	16,272,241	16.73	2,299,337	2.36
Queens	34,770,991	18.38	33,890,215	17.92	3,932,668	2.08
Ramapo Catskill	12,334,525	20.05	12,961,261	21.07	1,791,872	2.91
Southern Adirondack	3,060,109	11.40	3,139,328	11.69	971,839	3.62
Suffolk	43,858,118	34.15	44,659,651	34.78	2,904,259	2.26
Upper Hudson	6,548,618	14.96	6,259,539	14.30	1,182,675	2.70
Westchester	26,772,584	30.89	28,271,189	32.62	1,894,323	2.19
TOTAL	$391,246,391	$22.28	$400,248,974	$22.80	$48,772,100	$2.78

Source: *Public and Association Libraries Statistics 1985*

New York State Library
October 1986



Reference and Research Library Resources Systems. Reference and Research Library Resources Systems are regional associations of libraries in publicly and privately supported colleges and universities, special libraries (both in corporate and not-for-profit organizations), public library systems, and school library systems. The Board of Regents charters the systems, which operate under plans of service approved by the Commissioner of Education. Boundaries of the systems match those of public library systems. In 1987 State support for these systems is $3 million (a $230,000 base grant, plus five cents per capita and $1.15 per square mile). Payments range from $267,499 for North Country to $627,763 for METRO.

A basic goal of these systems is the sharing of resources to meet the research and information needs of users of all types of libraries – these users include students and faculty of institutions of higher education, the professions, independent scholars, and others who need access to specialized resources. Among the services the reference and research systems offer are: interlibrary loan; staff education and in-service training; delivery services; improved communication among libraries; production of union lists and bibliographic control programs; microfilming and preservation programs; cooperative use of computer-based systems; reciprocal access; and interface with the New York State Interlibrary Loan System (NYSILL). These systems also coordinate and administer State aid programs such as the hospital library services program, the coordinated collection development program, and the regional database program. The hospital program ($1.3 million) was authorized to bring rural hospital libraries into resource sharing programs and in 1984 it was expanded to include urban hospitals. The coordinated collection development program provides grants totalling $1.4 million to public or nonprofit independent colleges or universities located in New York State that agree to share resources through the reference and research systems. The program for regional databases for interlibrary resource sharing was enacted in 1984 and expanded in 1986. In 1987 the program provides $3 million, of which $1.4 million is administered by the public library systems, and $1.6 million is administered by the reference and research library system.

The reference and research library system boards have the responsibility to work with their members, including the school and public library systems, in

keeping current a five-year plan for regional bibliographic databases, and for developing, with the aid of a regional automation committee, annual programs and budgets for accomplishing the plan.

Nine systems cover the entire State. Their members include all 22 public library systems, the 46 school library systems, and about 700 other libraries, including academic and research libraries, special libraries, hospital, and other health agency libraries. Regulations of the Commissioner of Education establish standards of membership. The systems are governed by boards of trustees elected by the membership. These boards include representatives of member libraries, public library systems, and lay persons from the research community served by the system.

School Library Media Centers. New York State has nearly 4,000 school library media centers within school buildings operated by 725 local Boards of Education. Commissioner's Regulations require libraries in all public schools, but librarians are required only in secondary schools. Approximately 3,250 school librarians staff the libraries in public schools.

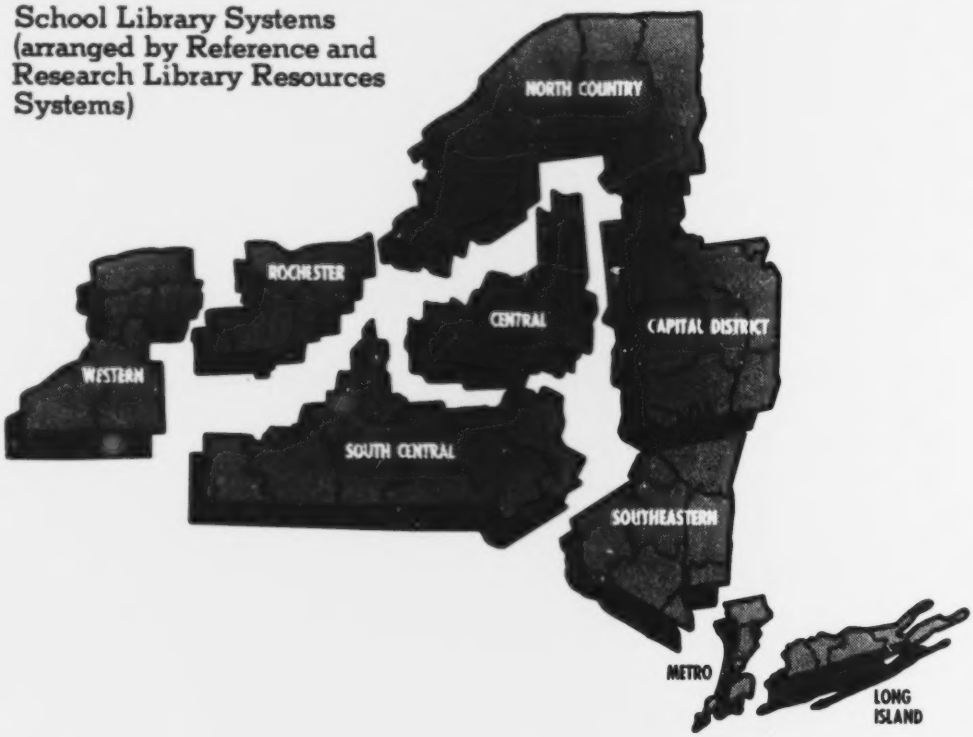
Almost 2.6 million children attend public schools and over .5 million attend nonpublic schools. Approximately 39 percent of the students are in the five largest cities (New York City, Buffalo, Rochester, Syracuse, and Yonkers). Most school districts are relatively small. Only 68 serve 5,000 or more students, and 120 serve fewer than 500.

The Regents 1984 *Action Plan to Improve Elementary and Secondary Education Results in New York State* and the corresponding changes to part 100 of Commissioner's Regulations require changes in education that will increase the need for quality school library service. Because of the *Action Plan* requirements, there is an increase in the study of second languages, science, mathematics, social studies and other fields. Cross-disciplinary approaches, new curricula, and an emphasis on logical and creative thinking and problem solving, are creating new expectations for library services and use. The school library must help students develop the skills and attitudes needed to become lifelong learners.

School library systems. The need for new, often expensive, materials to support curriculum and the need to draw from a growing number of information sources now make it impossible for a school library to stand alone. Like other libraries, school library media centers find it difficult to have the wide range of books, periodicals, pamphlets, maps, films, and other materials their users need. School libraries in New York are members of systems that make it possible for them to participate effectively in broader resource sharing involving all types of libraries.

In 1984, the State Legislature, after 5 years of support for 12 pilot school library systems to test methods for resource sharing, authorized establishment of school library systems based upon the State's 41 Boards of Cooperative Educational Services (BOCES) and the 5 large-city school districts. Nonpublic school libraries are eligible to participate in the systems. The systems, which began operation in school year 1985-86, are supported by State aid totalling $5.1 million. Systems qualify for aid on the basis of an approved plan of service, and aid is allocated by a formula which take into account the size of the system, including the number of participating school districts and nonpublic schools and the number of pupils served. Maximum system grants in 1986-87 range from $78,295 for the smallest system to $172,960 for the largest system serving under 500,000 pupils. New York City, with over 1.2 million pupils, receives $1,009,000.

Each system is developing a computer-based union catalog, listing the books, periodicals, and other library materials in the school libraries comprising the system. Each system has an interlibrary loan and delivery system to make it easy for any school library to share resources. To tap the resources of public, academic and other libraries, each system is a member of one of the nine Reference and Research Library Resources Systems.



SCHOOL LIBRARY SYSTEMS

(arranged by Reference and Research Library Resources Systems)

CAPITAL DISTRICT
- Albany-Schoharie-Schenectady
- Hamilton-Fulton-Montgomery
- Saratoga-Warren
- Washington-Warren

CENTRAL NEW YORK
- Herkimer
- Madison-Oneida
- Oneida-Madison
- Onondaga-Cortland-Madison
- Syracuse City

LONG ISLAND
- Nassau
- Suffolk 1
- Suffolk 2
- Suffolk 3

METRO
- New York City
- Putnam-Northern Westchester
- Westchester 2
- Yonkers City

NORTH COUNTRY
- Clinton-Essex
- Franklin-Essex
- Jefferson-Lewis
- Oswego
- St. Lawrence-Lewis

ROCHESTER
- Livingston-Steuben-Wyoming
- Monroe 1
- Monroe 2-Orleans
- Rochester City
- Wayne-Finger Lakes

SOUTH CENTRAL
- Broome-Delaware-Tioga
- Cayuga-Onondaga
- Delaware-Chenango
- Otsego-Northern Catskills
- Schuyler-Chemung-Tioga
- Steuben-Allegany
- Tompkins-Seneca-Tioga

SOUTHEASTERN
- Dutchess
- Orange-Ulster
- Rensselaer-Columbia-Greene
- Rockland
- Sullivan
- Ulster

WESTERN NEW YORK
- Buffalo City
- Cattaraugus-Allegany
- Erie 1
- Erie 2-Chautauqua-Cattaraugus
- Genesee-Wyoming
- Orleans-Niagara

Institution Libraries. An estimated 96,000 persons are confined in more than 245 public institutions administered by various State agencies, New York City, and the counties. The administrators of these institutions and the agencies of which they are a part determine what library services these institutions provide. There are 165 libraries in State-operated correctional, youth, mental health, and health facilities.

Chapter 718 of the *Laws of 1981* provided outreach funds to each library system to expand services to several groups, including institutionalized persons. Residents of correctional facilities, hospitals, youth facilities, nursing homes, developmental centers, and psychiatric centers are among the people benefiting from this new legislation. Since 1974, there have been modest annual appropriations, now $175,000, for extension of public library system services to local correctional institutions. In 1984, legislation was enacted to provide State aid to public library systems that provide services to State-operated correctional facilities based upon $9.25 per inmate, or approximately $340,000 annually. Sixteen public library systems provide such services.

College and University Libraries. The library resources of colleges and universities are an important part of the State's total library resources. New York State has more institutions of higher education than any other state except California and has the second largest student enrollment. Sixty-nine percent of high school graduates continue their education. In 1986 there were 247 degree-granting institutions of higher education in the State, of which 83 were public, 137 independent, and 27 proprietary. Almost 975,000 persons are enrolled in these institutions on a full-time or part-time basis. Of the total student body, 56 percent attend public institutions and 44 percent attend independent and proprietary institutions. When divided according to graduate and undergraduate enrollments, about 35 percent of the graduate students, 19 percent of the first-professional degree students, and about 61 percent of the undergraduates attend public institutions.

Academic library holdings total 61 million volumes. Of these, almost 67 percent are held by institutions in the independent sector, and almost 32 percent are held by public institutions. Eight university libraries in New York State (Columbia, Cornell, New York University, Rochester, Syracuse, SUNY Albany, SUNY Buffalo, and SUNY Stony Brook) meet the standards of the Association of Research Libraries (The New York Public Library and the New York State Library are also ARL members).

The State University of New York (SUNY) is one of two major public higher education systems in the State. Founded in 1948, the SUNY system consists of 4 university centers, 2 health sciences centers, 13 colleges of arts and sciences, 4 specialized colleges, 5 statutory colleges administered in cooperation with Cornell University and Alfred University, 6 agricultural and technical colleges, and 30 locally sponsored community colleges. In fall 1986, about 366,000 students were enrolled in SUNY.

The State University is governed by a Board of Trustees (appointed by the Governor) which determines the policies to be followed by the 34 State-supported campuses. The community colleges are governed by local boards of trustees. A central administrative unit provides coordinated direction of services to all units of the University. This includes an office for the coordination of SUNY library services.

SUNY library holdings include 14.5 million volumes.

The City University of New York (CUNY) dates from 1847, when the people of New York City established by referendum the Free Academy. The seven municipal colleges became The City University of New York in 1961. The CUNY system (19 units located throughout the five boroughs of metropolitan New York) consists of 11 four-year colleges, 6 two-year colleges, a graduate school and university center, and a school of law. In fall 1986 CUNY enrollment totaled about 183,000 students.

The City University's governing body is a Board of Trustees. Ten members are appointed by the

Governor, and five by the Mayor of the City of New York, all with the advice and consent of the Senate.

CUNY library holdings number over 5.2 million volumes. The 137 independent colleges and universities of New York are independent educational institutions, each with a charter from the Board of Regents or the Legislature and each with its own Board of Trustees. They include 12 universities, 55 college complexes and colleges, 7 engineering and technical schools, 19 health science centers and specialized colleges, 24 two-year colleges and 20 seminaries. The fall 1986 enrollment for the independent colleges and universities was about 396,000.

There are, in addition, 27 proprietary colleges (proprietary colleges are private profit-making institutions which offer degree programs in business and other fields) such as the Laboratory Institute of Merchandising and the Jamestown Business College. All but two are two-year schools. About 29,000 students were enrolled in these schools in fall 1986.

Library holdings of independent colleges and universities include almost 37 million volumes and holdings of the proprietary schools include some 105,000 volumes.

State Appropriations for Higher Education, FY 1986-87

	(in millions)
SUNY	$1,322.7
CUNY	626.2
Community Colleges	321.7
Bundy Aid	113.6
Medical/Dental Capitation	17.1
College Work-study Reimbursement	5.5
Programs for the Disadvantaged	65.7
Student Aid	461.3
Other	51.1
Total	$2,984.9

The Regents Statewide Plan for the Development of Postsecondary Education in New York State, 1984, provides directions for the State and New York's public, independent, and proprietary colleges and universities for the late 1980s. To accomplish five goals – access, excellence, employment

PROFILE OF SYSTEMS AND LIBRARIES BY REGION

Intersystem Region/Area[a]	Academic Library Members[a]	Special and Institution Library Members[a]	Public Library Systems[b]	Public Library System Members[b]	School Library Systems[c]	School Library System Members[c]	Population	Land Area
Capital District	18	25	3	67	4	72	994,565	7,158
Central New York	14	34	2	64	4	58	849,250	4,077
Long Island	30	71	2	108	4	99	2,605,813	1,199
Metropolitan (New York City)	81	72	4	41d	4	46	7,938,238	740
North Country	12	31	2	93	5	72	503,196	10,730
Rochester	13	32	1	60	5	57	972,629	3,140
South Central	18	44	3	108	8	94	955,995	10,078
Southeastern	17	53	2	110	6	76	1,165,042	5,429
Western New York	18	72	3	79	6e	90	1,573,344	4,828
TOTAL	221	434	22	730	46	664	17,588,072	47,379

[a] *Reference and Research Library Resources Systems Annual Reports 1985-86*
[b] *Public and Association Libraries Statistics 1985*
[c] *School Library Systems Annual Reports 1985-86*
[d] Does not include 190 branches in the Brooklyn, New York Public and Queens systems
[e] Reflects Chautauqua and Erie 2-Cattaraugus merger as of 1987

and economic development, diversity, and effective use of resources — the 1984 Statewide Plan calls on the higher education community to undertake a series of specific actions and makes recommendations to the Governor and the Legislature. The Regents top priorities for higher education, as expressed in the Plan, are the extension of access and excellence.

In the 1984 Plan, the Regents retained the objectives they set in their 1980 Plan, including those related specifically to academic libraries in the areas of library collection development, increased bibliographic access to library resources, provision of library user instruction, and expanded interlibrary loan.

The 1984 Plan proposes a number of actions by colleges and universities that are likely to affect demands on their library collections and services. These include: increased assistance to members of minority groups enrolled in programs leading to professional licensure; elimination of barriers for the disabled; development of Master of Arts in Teaching or similar graduate programs for teachers of mathematics, the sciences, foreign languages, special education, and occupational education; provision of academic services at times convenient for nontraditional students; expansion of language studies, area studies, studies of international commerce, and courses and other learning activities in other disciplines to enhance understanding of foreign cultures; development of graduate-level area studies programs; maintaining and building on the knowledge, skills, and attitudes developed in a liberal arts education while providing technical skills; and expanded efforts at the doctoral level in engineering, computer science, mathematics, and the physical and biological sciences by institutions offering such doctoral programs.

In the 1984 Plan, the Regents also specifically call on all colleges and universities to "take steps to assure the continued adequacy of their library collections to support their programs of study and research"; and recommend that the Governor "seek from the Legislature increased support for the cooperative efforts linking academic and research libraries with one another and with special libraries, public libraries, and school libraries in networks that provide a wide range of access to resources."

One of the four major aims in the 1984 master plan of The City University of New York is "to revitalize library resources throughout the City University." City University intends to revitalize library resources at every campus, but sees increased funding as critically necessary. On behalf of independent institutions, the Commission on Independent Colleges and Universities called for a review of the current support of the New York interlibrary lending system, and increased participation in OCLC. The degree-granting proprietary institutions expressed an intent to continue cooperating with library systems.

In their 1986 *Progress Report on the 1984 Statewide Plan*, the Regents identified progress that has been made toward the goals of the Plan and areas in which continued and increased effort is needed. The latter include increased participation by numbers of minority groups; better preparation of elementary and secondary school teachers; ensuring effectiveness of instruction for all students; and increased collaboration by colleges and universities with social, cultural, business, and labor organizations.

Generally, the Regents are concerned about the need of academic libraries to maintain, develop, and preserve their collections; to assure adequate training and in-service education for librarians; and to acquire and maintain the technological equipment needed for automation and participation in networks.

New York State Interlibrary Loan. New York State Interlibrary Loan (NYSILL) program, established in 1967, is a computerized library network that assures access to research libraries. Library users may gain access to NYSILL through any local library, which first requests its library system to locate and provide the needed material. Requests that cannot be satisfied within the system or region are sent to the State Library from one of the 56 NYSILL telecommunications sites. These requests

are sent by microprocessor or other telecommunication equipment to transmit to the computer in the Education Department. The New York State Library serves as a central resource and referral center for the NYSILL network. The libraries to which it refers unfilled requests are:

American Museum of Natural History
Buffalo and Erie County Public Library
Columbia University
Cornell University
Engineering Societies Library
New York Academy of Medicine
The New York Public Library
New York University
Teachers College
Union Theological Seminary

The NYSILL staff can search bibliographic and holdings data in the Regional Medical Library (RML) network and the Research Libraries Network (RLIN). The microcomputer network provides transmission sites access to the State Library's catalog and to other transmission and RML sites. Delivery service has been improved through use of commercial carriers and cooperation with SUNY/OCLC.

In 1985 an Interlibrary Loan Redesign Advisory Committee assisted in a major study of interlibrary loan service in New York State. The results of this study, completed in January 1986, provide a basis for improving interlibrary service throughout the State. During 1987 specifications for new software will be formulated in an effort to design a new statewide computer system for the redesign of interlibrary loan in the State. The new computer system should link libraries across the State in a combined point-to-point and hierarchical configuration and track all interlibrary loan requests.

OCLC: Online Computer Library Center. OCLC is a computer system serving libraries from its headquarters in Dublin, Ohio. This shared bibliographic system offers a variety of library and information services and serves some 7,400 libraries in 50 states, Canada, Mexico, and Europe. Some 236 of the libraries are in New York State. OCLC began in 1969 as a not-for-profit educational consortium with the objectives of containing increases in library costs and increasing the availability of resources. It maintains a growing database on the order of 15 million bibliographic records, along with their locations in about 7,400 libraries – a total of some 250 million item locations. Academic libraries, public library systems, school libraries, and State agency libraries are among OCLC participants.

OCLC services are generally made available through regional networks. In New York State, the State University of New York contracts with OCLC in behalf of all types of libraries and the Assistant Vice Chancellor for Library Services of the SUNY Central Administration and a staff of 10 persons provide training and related network services. The system is self-supporting through fees charged the member libraries. The SUNY/OCLC network is advised by a 13-member State University of New York Network Advisory Committee (SONAC).

RLIN: Research Libraries Information Network. Nine libraries in New York, including some of the largest research libraries, now participate in the Research Libraries Group, Inc., which includes Research Libraries Information Network. RLIN members are Columbia University, Cornell University, The New York Public Library, New York University, the University of Rochester, and the four SUNY University Centers. Their combined holdings exceed 27 million volumes. In addition to these "owner libraries," 11 other libraries, including the New York State Library, participate as special member libraries. The RLIN on-line database includes 9.5 million bibliographic records and 22.5 million in the 36 owner-member research libraries and 51 associate special and affiliate libraries.

MILCS: Metropolitan Interlibrary Cooperative System. Some 3 million titles, showing 15 million holdings, are recorded in the MILCS database maintained by the New York Public Library LIONS (Library Information On-line Systems) facility. In addition to its on-line services, LIONS generates a computer-produced microfiche catalog of the NYPL catalog and a single catalog of the holdings

of the Brooklyn Public Library and the 82 branches of The New York Public Library. In addition, the MILCS database is used to produce catalogs for libraries in Nassau, Suffolk, and Westchester Counties, and constitutes a major resource for the State.

UTLAS, Inc. The Westchester Library System and several school library systems in Long Island use UTLAS services and products. UTLAS, Inc., a bibliographic utility with a database of 25 million records, supplies computer-based systems, services, and products to libraries, enabling libraries to build and display on-line local bibliographic and holdings records. UTLAS provides on-line authority control linked to the bibliographic file. Currently, three academic libraries, one public library system, one special library, and one school library system in New York State use UTLAS as their primary cataloging utility. Four New York State school library systems use UTLAS as a retrospective conversion utility, and three New York State academic libraries have employed UTLAS for major retrospective conversion and authority file linkage projects.

Government Documents Depository Libraries. The variety and scope of government documents of all jurisdictions offer libraries a rich source of acquisitions to meet the entire range of community needs. Improved awareness of and access to these publications have a high priority.

The State Library (a Regional Depository for Federal publications) and the 92 selective depositories within New York State have developed a coordinated State plan for Federal Depository library service. Elements of the plan are collection and staff development, regional cooperative acquisitions and retention, improved communications and bibliographic awareness among depositories, strengthened on-site and interlibrary loan services, and greater emphasis on publicizing the availability of Federal information. An Advisory Council on Federal Depository Library Service was established in 1983 to implement the plan and evaluate accomplishments.

Ninety-nine libraries in New York State are depositories for publications of New York State government. Libraries in the depository program are chosen on the basis of location and for their ability to maintain a documents collection and make it available to the public. As a result every New York State resident can consult State government publications in a nearby library.

Health Information Library Services. The federally funded Regional Medical Library (RML) network, operating under a contract between the New York Academy of Medicine and the National Library of Medicine, provides access to specialized health information resources in the Northeast (RML Region I). In New York State, five libraries serve as resource libraries: Columbia University Health Sciences Library, the Medical Library Center of New York, the New York Academy of Medicine, State University at Buffalo Health Sciences Library, and the State University Upstate Medical Center Library. These libraries have direct access to the State Library's on-line catalog and the NYSILL telecommunications system through microcomputer terminals. In addition, 15 other New York State libraries serve as Area Libraries in the RML network.

During 1984-85 the five resource libraries received 207,775 Region I interlibrary loan requests from libraries in New York State for health information materials. Of these requests, 168,411 were filled and 28,863 were referred to other libraries. Because the New York Academy of Medicine also serves as a resource library for the NYSILL network, NYSILL requests not filled by the Academy may be switched to RML resource libraries in other states and the National Library of Medicine; RML libraries in New York State may access NYSILL directly.

Under legislation enacted in 1981, the New York State Library entered into a contract with the New York Academy of Medicine to purchase Library Service Coupons for use by the Reference and Research Library Resources Systems. These coupons are used to obtain interlibrary loan services from subcontracting libraries in the RML program. Coupons are allocated by the State Library among

the reference and research library systems using a formula based on the number of health-related institutions in each region. Within the regions the coupons are distributed according to a plan developed by each system.

The purpose of this program is to improve access to health information in New York State, make the resources of the RML network directly accessible by libraries in the reference and research library regions, encourage the full use of local and regional health information resources before accessing other resources in the RML and NYSILL networks, and facilitate referrals to the most appropriate locations in both networks.

In addition, each reference and research library system has a program to provide services to hospital libraries, enabling those libraries to meet standards established by the Regents, and to participate in resource sharing networks.

The public library is a way of escape from the narrow area of our individual libraries into the field, finite, no doubt, but unbounded, of the wisdom and experience of all mankind. It is not the only way of escape, but for the majority of us it is by far the widest and the easiest to pass through, thus the one that we should be most careful to keep open free from impediments.

—Gerald W. Johnson
1956

Library Resource Sharing in New York State and Technological Change

Library resource sharing in New York State is grounded in the 35 years of systems development described in the previous chapter. The systems, which cover the entire State, provide the means by which library resources are made available to all the residents of the State. These systems, and the State Library, have a long-standing commitment to the use of technology to improve services, increase efficiency, and constrain cost increases.

The State Library's initiatives in adoption of technology include use of a mainframe computer for interlibrary loan communications since the 1960s, telefacsimile experimentation, OCLC membership since 1973, an on-line catalog since 1980, and systematic use of OCLC and other databases since 1980 in building a statewide machine-readable union list of serials.

The public library systems, reference and research library systems, and school library systems use technology to achieve the Regents goal of timely and free access to a full range of information resources and services through local libraries within systems and networks. Together, these systems, with State assistance under the regional database program approved by the Legislature in 1984, are using the bibliographic utilities identified in the previous chapter to develop a statewide machine-readable database of resources.

The regional database program requires library systems in each of the nine library regions of the State to develop a plan for a regional database which meets national and state standards, thus providing a means by which any library in New York State can identify bibliographic and holdings records throughout the State. Once identified, the systems' services provide access to the needed materials or reproductions of these materials.

In December 1984, the systems completed a data conversion plan for the 1985-1989 period. These plans identify a universe of 65 million monographic holdings records, and approximately 36 percent of these records are in machine-readable form. These machine-readable records in New York generally conform to accepted standards, existing variously at the State Library, on the MILCS/LIONS database (New York City), on the RLIN database (Stanford University), on OCLC (Ohio), on the UTLAS, Inc. database (Toronto), and in a number of local data files produced by private vendors for contracting libraries in New York. Some 800,000 serials database records, or some 72 percent of the estimated 1.1 million records, are in machine-readable form. Most of these are in OCLC, and serials additions to the RLIN database are expected to grow rapidly. The regional database programs and rapid technological change are affecting library automation and resource sharing.

The library systems, machine-readable database development, and telecommunication programs which underlie resource sharing in New York State have been systematically assisted by studies and evaluations. LSCA funds have underwritten part or all of the costs of such studies as the Peat, Marwick and Mitchell study of the MILCS database (1979); a

Richard Anable plan for a New York State union list of serials (1981); an Online Computer Systems study of communications requirements, technology, and options in the South Central Region (1981); Ralph Shoffner and Regan-Gossage plans for METRO area union list of serials (1983); a union list of serials study by Ralph Shoffner (1984); and a statewide interlibrary loan study (1985). In addition, the 1980-81 Commissioner's Committee on Statewide Library Development made recommendations on expanded use of technology for resource sharing, and in 1987 a State Automation Committee appointed by the Director of Library Development made recommendations for further development. These studies and reports propose that future library automation and resource sharing in New York and elsewhere will be strongly influenced by such elements as:

- large data files
- use of a range of computer sizes from micro to mainframe
- large numbers of computers in use, eventually an average of more than one for each of New York's 7,600 libraries
- distributed rather than centralized systems
- telecommunications networks linking libraries and their various computers and databases
- continuing automation within libraries to the point where all major functions in most libraries will make use of computers and associated technology and
- remote access by library users via home computers or subscription-based videotext terminals and networks.

These developments will affect users as well as libraries. Just as more libraries can afford more computing power, so can their users. Microcomputers will become as ubiquitous as telephones and television sets, and libraries will be expected to offer remote-access services for their users who have computers. Mass marketing of on-line computer services and of videotext and teletext services will fuel demand for remote access to libraries and information resources. The variety of computerized library systems poses a challenge to all concerned with automation and resource sharing.

Three Automation Action Programs

Automation is an important tool for meeting goals of facilitating resource sharing, statewide access to information, and cost-effective library operations. Three action programs are needed to make effective use of automation:

- Continued development of a statewide *database* of machine-readable bibliographic and nonbibliographic records[1] resident in several computer systems and utilities, with the expectation of linking these regionally, statewide, and nationally;
- A statewide library *network* to link components of the database and local and regional systems, to provide access to national networks, and to provide integrated services using the library database and communications network;
- A strong and formal automation *consulting* capability within the State Library, and through an informal network of practitioners in the State.

Two basic principles underlie these action programs: (1) State-level services and automation assistance will be provided to programs that facilitate broad regional and statewide resource sharing, and (2) libraries will budget local funds for automated operations, just as they now budget for manual functions and activities. State investment in regional databases and other automation programs, through a combination of LSCA funds and

[1] Including (1) the machine-readable cataloging records of New York State libraries produced by OCLC, RLIN, NYPL, UTLAS, commercial vendors, and local libraries;(2) the complete CONSER file for New York Libraries; (3) index of New York library collection strengths, special collection descriptions, archive descriptions, etc., in searchable form; (4) statewide "community information and referral" data and index, including a directory of non-library expert resources.

State aid, will assist local libraries and systems to mount their own on-line catalogs and automated systems. The program is also based upon the following assumptions:

(1) There will continue to be diversity in approaches to automation regardless of State policies and regardless of how much public money can be applied to the use of technology.

(2) There will continue to be rapid development in technology: costs will come down, and capabilities at each general cost level will increase.

(3) Technology will become as much a part of everyday operations of libraries as manual systems are now, to the point where, eventually, every library in New York can afford to be part of a totally integrated computer system.

(4) Library users will continue to become more sophisticated in the use of computers, especially microcomputers; eventually most users will make daily use of such computers and will expect some portion of that use to include remote access to library databases, information and services.

(5) There will continue to be State and Federal dollars available at current or somewhat increased levels and that the governments that provide these dollars will expect coordination and cooperation leading to resource sharing.

(6) Continuing and significant changes in technology, political environment, and financial resources available will require modifications to this plan from time to time.

Database Development. As noted above, some 37 percent of the State's monographic and serials holdings records are in machine-readable form. Although resident on several computer systems, these records constitute a statewide database which is growing rapidly and systematically as a result of the 1984 regional databases legislation and LSCA support. Because the size of library holdings and accomplishment in automation vary from region to region, the status of database development varies from region to region. While libraries and library systems in the New York City metropolitan area have been leaders in automation, the sheer size of holdings will require massive work over the next few years. In some upstate regions in which most serials and monographic holdings of public, academic, and special libraries are in machine-readable form, significant work remains to be done to bring into the databases school library systems holdings, government publications, and special collections.

The State Library will continue to work with library systems in regional and statewide planning for database development and automation which results in the further development of the statewide database. State aid and LSCA grants will be made for the further development of the database.

Network to link databases. Telecommunication and automation have become intricately dependent upon each other. Computers provide intelligence to communications systems which, in turn, support distributed computer systems and networks. Network designs are no longer predicated solely on centralized facilities, but the state of the art has not solved the problems presented by totally distributed networks. Thus, for the foreseeable future, networks will be of a "mixed mode" design, including both centralized and decentralized features, as well as providing both "hierarchical" and point-to-point communication among libraries. The goals of New York's library telecommunications network are to:

- provide both point-to-point and hierarchical communication among libraries on the network;
- allow unlike computer and application systems to communicate with each other as easily as possible within cost constraints;
- provide communication links to libraries and service suppliers outside the State;
- evolve smoothly and economically to take advantage of advances in technology.

The State Library will continue to support development activities related to the network and encourage adaptation of linking systems developed elsewhere. The library will also provide statewide access to the State Library's on-line catalog, and provide electronic mail, electronic bulletin boards, and forum and group messaging capabilities.

The first State Library experimentation with electronic mail was through the NYSILL point-to-point message transmission in 1982. In 1985, the State Library began an experimental New York Library Line (NYLINE) information network based on the American Library Association's ALANET service. NYLINE serves some 100 participants, including the 22 public library systems, 9 reference and research library systems, 46 school library systems, and 20 central libraries. Services include direct and group electronic mail, electronic bulletin boards, and access to other electronic message services.

Automation Consulting. Automation has become a dominant factor in library operation and management. It is inherently complex, its technology changes rapidly, its introduction in any specific library is likely to be stressful, and automation now in use in libraries is having significant impact on those libraries which have not yet begun to automate. Libraries and library systems contemplating automation need assistance.

The State Library automation-consulting expertise and service will be expanded. In addition, there will be the need to draw upon the expertise of automation practitioners and network specialists. The staffs of library systems increasingly include automation specialists who should constitute an important resource for cooperative development and expertise. The SUNY/OCLC network staff and automation specialists in libraries are also an important part of the State's automation talent pool.

Principles Underlying the Program

Experience with automation, with LSCA grants, and with the regional database program has demonstrated the significance of seven principles which will be important in the near future. The following nine principles underlie the subsequent library program objective number 6 for effective use of technology, affirming that the libraries and library systems in New York should:

(1) ensure compatibility of data by adhering to national standards;

(2) build upon machine-readable data already available to decrease costs of data conversion and system implementation;

(3) generate current machine-readable data as a by-product of day-to-day library operations;

(4) target limited state and LSCA funds on projects that encourage resource sharing and demonstrate a strong local and system commitment to automation;

(5) budget local funds for automated library operations just as they now budget for manual functions and activities;

(6) recognize that bibliographic data generated with public funds should be treated as being in the public domain and available for regional or statewide use;

(7) ensure that all types of libraries have equal access to such public-domain bibliographic data;

(8) recognize that each of the major utilities and automated systems will have unique records that will be needed by users of other automated systems;

(9) provide access to the developing national and multi-state networks such as OCLC, RLIN, SOLINET, and WLN; and

(10) recognize that bibliographic database development is not an end in itself, and that the principal goal is to provide access to information resources.

The State cannot underwrite the entire cost of automating libraries throughout the State. The State's limited financial assistance, within priorities outlined, will emphasize planning, initial implementation, and transferability of systems and data.

Costs of ongoing automation and operations should be budgeted by each library or library system from its own funding sources. The State supports regional automation programs because they improve services provided by libraries that are members of systems. The State Library and the national networks provide services which are of a statewide nature and which are not practical to provide either regionally or locally.

> *Here, then, in the libraries of the nation, we have an existing network spread across the society, stationed in almost every neighborhood, and in the charge of experienced people who have always honored a strong ethic of public service. If the equipment for computerized reference facilities were concentrated in local libraries or, better still for reasons of economy, if every local library were linked to a generously funded regional reference center, this would be the fastest and cheapest way for the general public to gain open access to whatever benefits the Information Age may have to offer.*
>
> — *Theodore Roszak*
> The Cult of Information:
> The Folklore of Computers
> and the True Art of Thinking
> *1986*

Constraints on Library Services and Priority Needs

Library services are shaped by laws, funds and funding sources, actions of decision makers who provide resources, and the vision and energies of library policymakers, administrators, and staffs. Services are also shaped by the expectations of users and the people who support libraries. In recent years, services are increasingly affected by technological change. Libraries are confronted by new technology which is fundamentally changing their services and operations. At the same time, they cope with a greatly increased volume of published materials, an expanding variety of forms of media, and increase in the cost of published materials. Rapid advances in computer technology and telecommunications are transforming methods of handling and transferring information. These changes affect almost every aspect of American life and create different expectations on the part of library users.

Technological change and economic factors pose the risk of creating a wide gap between the "information rich" and the "information poor." Libraries provide an opportunity for persons of all ages, ability and economic condition to obtain information, pursue learning, and advance in knowledge.

One of the chief constraints upon library service to millions of people in New York State is the difficulty libraries face in reaching and serving many people who are not now using libraries. Library policies, plans, and services need reevaluation in the light of community needs. In some cases this will require action to meet user expectations; in others it will require action to create or raise user expectations.

Technological changes require library investment in equipment and software for new services, increased attention to in-service training of library personnel, and additional qualified personnel for specialized positions. At the same time, the need for additional staff for traditional services should not be overlooked.

To ensure adequate access to information resources and services for all residents of New York State, libraries and library systems require additional State, local, and Federal support. Although libraries have traditionally offered their services at no charge to users, the cost of providing such new services as computer data base searches is causing a reevaluation of this policy. Static budgets are forcing libraries to spend less on materials as rising costs in other areas absorb larger percentages of their budgets.

In 1985, the total public library expenditure from all sources was $383 million, making the average public library expenditure per capita, exclusive of capital expenditures, $21.83. Per capita expenditure at the local level ranges from $1.21 in Lake George, Mountainside (Warren County) to $136.98 in Shoreham-Wading River (Suffolk County). One out of eight public libraries in 1985 expended less than $8,000 for its entire operation – materials, salaries, utilities, and building maintenance. Many of these libraries, and larger libraries throughout the State, face additional uncertainty and austerity because of the 1986 termination of Federal revenue sharing.

A large number of libraries lack adequate physical facilities. To make libraries accessible to handicapped persons as required by State and Federal

law will require remodeling, renovation, and the modification of many buildings. Many libraries require changes to make them more energy-efficient. Many libraries are planning new construction or remodeling, but most lack the funds to build or to make the required modifications. Most of the facilities for institution libraries need improvement.

The State's continuing strong commitment to support of library services can be measured by the major increases in library aid in 1981, 1984, and 1986, the level of support of library systems, and the State aid programs for purposes ranging from preservation of research materials to ensuring availability of health information. The Governor and the Legislature agree with the Regents recommendation that increased library aid is a priority, voting in 1986 the largest increase in library aid in the State's history.

Funding for the Federal Library Services and Construction Act is often uncertain from year to year, is low in relation to need, and is inadequate to meet the goals stated in the statute.

Libraries in New York State operate with a sound legal base. The Federal Library Services and Construction Act and its Federal regulations establish requirements, limit the use of funds to specific purposes, and set general boundaries of use. New York State's Education Law and other State laws also establish the boundaries within which libraries and systems must operate, the standards and requirements they must meet, and their legal structure.

Needs: Following are five needs identified in discussions with the Advisory Council:

(1) Improve service, and access to that service, to persons with currently inadequate service;

(2) improve service, and access to that service, for such groups with special needs as (a) economically, educationally, and culturally disadvantaged persons, (b) blind and physically handicapped persons, (c) institutionalized persons, (d) persons who do not speak English or those for whom English is a second language, (e) elderly persons, and (f) preschool children and their parents;

(3) increase efficiency and effectiveness of libraries through resource sharing and the use of technology;

(4) test, demonstrate, and evaluate new services leading to new locally supported services; and

(5) improve the State Library as a development and statewide service agency.

What we do about books and reading in the next decades will crucially affect our citizens' opportunities for enlightenment and self-improvement, their ability to share in the wisdom and delights of civilization, and their capacity for intelligent self-government.

–Daniel J. Boorstin
The Librarian of Congress
1984

Goals

Regents policy on libraries affirms that every resident of New York State should enjoy timely and free access, through local libraries working within library systems, to a full range of informational resources and services, provided without restriction of censorship or violation of privacy.

"Free access" means access without regard to the age, sex, cultural or ethnic background, or other personal characteristics of the user. It means, as well, accommodating disabled persons and others through outreach programs and adaptation of services. In publicly financed and publicly operated libraries, access to informational resources should be provided free of cost to the user, except for modest and equitable fees charged for special service alternatives.

Providing access and services to meet the information, education, cultural, and recreational needs of all the people of the State requires a comprehensive program involving all types of libraries. Different types of libraries have evolved to meet the variety of needs of the State's men, women, and children. These include public, academic (community college, college, and university), school, special (business, government, and organization), and institution libraries. Through systems and networks these diverse resources become accessible to the greatest number of people. The sharing of resources by all libraries (public, academic, school, special, and institution) within the State through local, regional, and State partnerships is encouraged through regional- and state-level system development. Because no single library or region contains everything that a library user might require, the State created and is continuing to develop the New York State Interlibrary Loan Network. Through this network, public, academic, medical, institution and business libraries, irrespective of size or location, have access to library resources throughout the State.

Extending this basic State goal are those more specific purposes stated in the Federal Library Services and Construction Act (as amended by Public Laws 91-600, 93-380, 95-123 and 98-480). The purposes of Title I are: the improvement of public library service and the elimination of inadequacies to those not fully served; improvement of library service in State institutions; expansion and improvement of library programs for the blind and physically handicapped; strengthening of metropolitan public libraries, which play essential roles in regional service; and strengthening the State Library's coordinating, development, and support services.

The purpose of Title II is to assist in the construction of public library buildings.

The purpose of Title III is to establish and maintain local, regional, State, or interstate cooperative networks of libraries for the systematic and effective coordination of the resources of school, public, academic, and special libraries and special information centers.

Although Titles IV, V, and VI are administered directly by the U.S. Department of Education rather than by the states, these programs are important to New York State. Title IV (Library Services for Indian Tribes) grants can assist in the further development of library services on Indian reservations. Title V (Foreign Language Materials Acquisition) grants can assist libraries in New York State when that Title is funded, and Title VI (Library Literacy Programs) grants can effectively strengthen library-based literacy services.

Library planners have developed objectives for

these goals. Implicit in the goals are two principles: that the people of New York State may use more than one type of library, and that all libraries are interdependent. Ten objectives are stated and described in the next chapter of this document. They are:

Local Service

Library Systems

Service for Blind and Physically Disabled Persons

Service for Adult Learners

Service for Residents of Institutions

Effective Use of Technology

Preservation of Endangered Library Resources

Physical Facilities

School Library Services

State Library Services

Some factors that influence these objectives are: the priorities of the Regents as related to libraries and cultural education; Federal priorities under the Library Services and Construction Act; library and information needs of users; the status of ongoing programs in their various phases of implementation; and the current economic environment with constraints on local, State and Federal fiscal resources.

Education Department officers and staff review Library Services and Construction Act program documents to ensure coordination between library programs and programs of other educational institutions. As staff of the Office of Higher and Professional Education, the Office of Vocational Rehabilitation, the Office of Elementary, Secondary and Continuing Education, and the Office of Cultural Education participate in such reviews, they provide technical assistance and assist in joint program development. Each library system which receives an LSCA Title I or Title III grant files six-month, nine-month, and twelve-month reports including evaluative information. These reports are reviewed by the Library Development staff (and are available to the Advisory Council, which systematically evaluates a group of projects each year), often in conjunction with site visits. In addition, some projects such as several identified in the chapter, "Library Resource Sharing in New York State and Technological Change," are specifically developed to provide planning and evaluation information. Results of evaluations are appropriately disseminated. Project reports and the review by the Advisory Council form the basis for the annual narrative report to the U.S. Department of Education. The narrative is also printed in *The Bookmark* and is widely distributed.

The vitality of libraries as educational agencies depends upon wise actions by public decision makers and others who provide resources to educational institutions. The American Library Association identifies four realities for educational reform within a learning society. The four realities are:

1. *Learning begins before schooling.*
2. *Good schools require good school libraries.*
3. *People in a learning society need libraries throughout their lives.*
4. *Public support of libraries is an investment in people and communities.*

—American Library Association
Task Force on Excellence in Education
1984

Ten Library Program Objectives

New York State has an enormous range of library services, resources and operations. Following are ten broad objectives or programs for assuring all residents of New York State convenient free access to library services. The order in which they appear does not indicate priority.

1. Quality service for all persons in their local communities.

The residents of New York State have a right to receive good library service in their home communities. In seeking information, users may start at a number of different points. The usual point of access for the person not enrolled in a formal course of education is a public library or branch library. Students usually turn first to a school or academic library. Serious business, research, or management information needs are often taken to a corporate library. When each library operated independently, each information seeker had to go from library to library. Today, by channeling materials and information from one library to another, the network of libraries can bring to the local community the resources of libraries throughout all New York State. Providing quality service to all persons in New York State requires both local and State action.

"All" is a key word in this objective. People who govern and operate libraries are increasingly concerned about service to their entire constituency. Public libraries are testing new ways of analyzing community needs, evaluating library services, and planning how to meet the needs of both current users and potential users. Both LSCA- and State-coordinated outreach programs require special efforts for populations at risk and for others who may not have used library services fully in the past. These populations include persons who are economically, educationally, and culturally disadvantaged; persons with limited English-speaking ability; elderly persons; and parents and children who need help in using the library as a door to lifelong learning. Other objectives in this plan deal with such populations at risk as blind and physically disabled persons, adult learners, and persons in institutions.

Those persons who are **economically or educationally disadvantaged**, or who face cultural, physical, or psychological barriers, may need special help in the use of library services. Some 5.6 million persons over the age of 16 in New York State lack a high school diploma or the equivalent. The 1980 Census determined that 13.4 percent of the State's population lives below the poverty level. Economically disadvantaged people are both concentrated in urban areas and scattered throughout suburban and rural areas of the State.

For many New Yorkers, **English is not a first language**. In 1980, more than 20 percent of the 9 million residents of the New York City metropolitan area were foreign born, and some 25 major languages from Arabic to Yiddish are spoken by 30 percent of the residents of that area. Education law recognizes that many school children have limited proficiency in English because of foreign birth or ancestry. Bilingual instruction is provided to some 112,000 students in 93 languages ranging from Afrikaans and Albanian to Yoruba and Zulu. Library systems directors have identified populations totaling 3.2 million as populations with limited ability in English.

The aging of New York's population poses both a challenge and an opportunity for libraries. New York has an estimated 3.2 million persons 60 or older. The elderly population is growing faster than

any other age group. Persons 60 years or older constituted 17 percent of our population in 1980 and are expected to constitute 21 percent of our population in 2010. Aging often results in discrimination in the job market, health and financial problems, and limited social activity. Elderly persons are confronted by new information, recreational, and social needs that can be helped by libraries. Aging also brings new opportunities to use the cultural and educational services of libraries. Libraries are encouraging elderly persons to use services generally available and are adapting services for easy use by elderly persons.

What **parents and children** share before a child enters kindergarten has a powerful effect on the child's future. The extent to which parents introduce their children to books, culture, and learning helps determine lifelong learning habits, attitudes, and skills. Among the most important of the preschool experiences are the development of skills in listening, speaking, and looking that prepare for reading and form the basis for the enjoyment of learning. In our society, most parents work outside the home, so all members of the family and extended family (including grandparents and brothers and sisters) can play important educational roles. The number of teenage parents is growing rapidly and both male and female teenage parents need particular help in carrying the responsibilities of parenthood. Family members set the stage for reading and other learning and provide models of behavior. This family influence in developing attitudes toward learning (often extended by collaboration with day care, preschool, and other community agencies) is important for the prevention of deficiencies in school and beyond. Libraries contribute to preschool learning (1) through the services, programs, and materials that help parents increase their skill and capabilities, and (2) through programs that serve children directly.

Libraries ought to serve both traditional and new users within their total community. To do this they often employ special or outreach techniques for making contact with potential users. The term traditional user has been employed to describe library users in the general population served by a library or library system. Within this population there are people who are considered special clientele (for example, local government officials, operators of small businesses, or persons fluent in both English and foreign languages) for whom the library may make a special effort.

Library outreach services are programs specifically designed to reach and serve urban and rural persons who may be physically, mentally, or educationally disadvantaged, people who are institutionalized in government or nongovernment facilities; and those people who are isolated by cultural differences and geographical distances. These outreach services generally attempt to restore balance and equity in library service to those people who may have suffered racial and other discrimination.

To implement this objective the State Library, directly or through library systems, will:

a. Provide to local libraries of all types information on the resources available to their users (current and potential) through library networking.
b. Continue to seek legislation favorable to library development in the State.
c. Provide materials and services designed to help functionally illiterate persons begin to use libraries.
d. Provide materials and services to disadvantaged persons
e. Encourage libraries to seek out and serve minority persons.
f. Strengthen services to persons with limited English-speaking ability by continuing to identify such users (and potential users) and providing programs and resources, including nonprint materials, for their use.
g. Encourage libraries in providing and adapting services for elderly populations.
h. Encourage libraries to develop and improve services to children and parents, and to cooperate with community organizations, day care centers, schools, and other agencies in extending such services.

i. Increase efforts to reach potential users through effective public relations, library outreach, and cooperation with community organizations.

j. Review outreach needs and services as a part of the comprehensive study of library systems and services; revise definitions and programs as needed.

2. Improvement of library systems, their resource libraries, and further development of intersystem cooperation, making it possible for libraries of all types to serve their users more completely, efficiently, and effectively.

More than 30 years of library system development in New York State, starting with public library systems and reference and research library resources systems, and now including school library systems, have demonstrated the value of building upon the strength of existing institutions, shared development and use of resources, and imaginative program development.

State aid for libraries now totals $73 million, largely supporting systems of libraries. The services, costs, and operations of these libraries and systems are being affected by major changes in the State and by technology. A 1980-81 Committee on Statewide Library Development appointed by the Commissioner of Education established goals for library system development in the 1980s and made recommendations for State policy, resource sharing, funding, and library systems.

A comprehensive evaluation of library systems is now underway. This will provide the information base upon which to develop State policy of the next several years. The study should provide a projection of library service needs for the 1990s, an evaluation of the present library systems and the central libraries, and an evaluation of changes predicted as a result of technological developments.

The 1980-81 Commissioner's Committee on Statewide Library Development recommended that systems of all types review and redefine their missions in terms of emerging user needs and technological development. The Committee also defined the following principles for resource sharing:

- Each library in the State should have access to other collections in the State.
- Interlibrary loan and other types of resource sharing are integral parts of library systems and networks.
- Regional resource sharing provides a sound basis for interlibrary loan activity.
- Clear standards for interlibrary loan network performance are needed.
- Communications technology and computer-based data storage techniques should be used for efficient resource sharing.
- Data base development should be monitored for adherence to technical standards.
- Access to the several national data bases and to the diversity of services they offer is in the interest of New York State.
- A State-supported network should make optimum use of prior public investment in resources and should provide incentives for using nonreimbursed resources and services before turning to reimbursed resources.
- State reimbursement for interlibrary loans is an appropriate mechanism for assuring access to statewide collections.
- Successful resource sharing depends upon the strength of library collections in the participating libraries.

Recommendations based upon these principles include pursuit of interfaces among interlibrary loan networks, redesign of the NYSILL network to accommodate point-to-point access and to distribute loan requests more evenly, and expanded attention to continuing education required to meet the needs of tomorrow's libraries for personnel with the knowledge, competencies, and skills needed to participate in technological development and to provide more responsive library and information services.

The development of a statewide retrospective data base of monograph and serial holdings will be accelerated. The New York State union list of serials is being developed as a coordinated statewide program to build a machine-readable data base through the CONSER (Cooperative *On*line *Ser*ials) project. The State Library is working with reference and research library systems and major newspaper depositories in a multi-year program to inventory, catalog, and selectively preserve newspapers in the State. This program is supported by a grant from the National Endowment for the Humanities.

Public Law 95-123 amended Title I of the Federal Library Services and Construction Act to earmark funds for the strengthening of public libraries which serve as major urban resource libraries. These libraries fill an important place in the proper functioning of any major system or network. Public libraries in New York State that qualify for assistance under this program are the Brooklyn Public Library, Buffalo and Erie County Public Library, The New York Public Library, Queens Borough Public Library, Rochester Public Library, Onondaga County Public Library (Syracuse), and Yonkers Public Library.

To encourage development of an efficient and effective system of libraries in New York, the State Library will:

a. Complete a comprehensive study of library services and systems as a basis for planning for library services in the 1990s.
b. Encourage cooperative programs that enable systems to provide needed resources and services to member libraries.
c. Seek additional State funds for support of library systems, for strengthening the research collections of the major research libraries participating as resource libraries in the NYSILL program, and for conservation of library research materials.
d. Conduct a systematic review of public library system and reference and research library system plans of service to examine current practices, update when appropriate, and suggest options for the future.
e. Cooperate with public library systems, library educators, and other appropriate groups to assess continuing education needs and carry out recommendations of the Statewide Continuing Library Education Advisory Committee.
f. Strengthen major urban resource libraries as Federal funds become available.
g. Redesign the NYSILL program through expanded point-to-point interlibrary loan access and further extend remote use of the State Library's on-line catalog.
h. Cooperate with OCLC, RLIN, and UTLAS; and make recommendations for future network development.
i. Assist in the further development of quality library services through updating of standards for library service; articulation of public, academic and school library service; and improved reporting on library services.

3. Improved service to disabled persons.

Physical disabilities affecting vision, hearing, mobility, perception, or learning disability should not limit the quality of library service available to users. Meeting the objective of improved service to disabled persons requires access to information resources in special formats that provide disabled persons with the same wide variety of subjects, points of view, and comprehension levels available to other library patrons. Special equipment (record players, cassette players, reading machines, and low vision aids), special materials (braille, recorded disc and tape cassettes) and the adaptation of physical structures make libraries accessible to disabled persons.

The New York Public Library for the Blind and Physically Handicapped, serving readers in the five boroughs of New York City and Long Island, and the New York State Library for the Blind and Visually Handicapped, serving readers in 55 upstate counties, are the two regional libraries in the State

designed to serve disabled users. Public libraries and other local community agencies are important points of contact for this service. They can identify potential users, provide readers advisory services, introduce users to such conventional services as telephone reference, and audio collections, and provide intermediary contact between the local user and the regional libraries. Public library systems can also sponsor such local or regional programs as radio reading service for blind and visually handicapped persons.

The special information needs of disabled persons need to be better understood and addressed by all types of libraries. Opportunities to learn about these needs must be made available to library staff. Collections should include the special resource materials which persons with impaired vision, or hearing or other physical disabilities, persons with learning disabilities, and their families require to meet daily living needs. Library systems must make commitments to library users with impaired hearing through outreach programs involving staff with special communication skills, special materials, and new telephone/teletype written communications systems.

To meet this commitment the State Library will:

a. Encourage use of regional library services to blind and visually handicapped persons.

b. Strengthen lines of communication between the regional libraries and other libraries, agencies and patrons, and encourage libraries to cooperate with other organizations to extend and improve services to disabled persons.

c. Maintain a full range of services and a strong collection of special media materials for blind and visually handicapped persons.

d. Cooperate with agencies which serve hearing impaired persons to provide to library systems information about deafness and its implications, along with resource materials to help meet the library information needs of persons with hearing impairment.

4. Improved service to adult learners and others who use or could use the library as a resource for general, cultural or vocational education.

Each year more adults are involved in independent learning to keep their education from becoming obsolete as fields of knowledge change rapidly and as they see a continuing need to improve and increase their knowledge in relation to their jobs. Development of programs such as the Regents College Degree, Empire State College, and the University Without Walls have made it possible to obtain a college degree largely through independent study without attending formal, on-campus programs. Students in these programs are already making added demands on their local public libraries.

Greater numbers of adults are enrolled part time in continuing education programs at secondary and postsecondary levels sponsored by local school districts, BOCES, and two- or four-year colleges. Whether preparing for high school equivalency examinations or enrolled in postsecondary programs, many part-time students find the public library to be an accessible and important resource. Libraries provide programs and resources to persons interested in attaining basic literacy skills, or obtaining career planning and employment opportunity information. These needs are identified and met through Job and Education Information Centers and adult literacy programs.

The 1976 Amendments to the Higher Education Act authorized the Education Information Center Program (EIC) and required the states to develop comprehensive plans to provide educational information, guidance, and referral services on the postsecondary level for all individuals. Federal funds were discontinued but the development of education and career information and advisory services for adults continued with the help of a generous grant from the W.K. Kellogg Foundation. Since 1984, State funds have been appropriated for the program. New York State has given special attention to the public library as a delivery system

for these services. Factors that make the public library a particularly appropriate service delivery point include (1) its neutrality, (2) its established identity as a community information center, (3) its ability to classify, store and retrieve large quantities of information, (4) accessibility, and (5) prolonged hours of service to the general public.

Each of the seven EIC sites serves special populations in addition to serving the general public. Client groups include the economically disadvantaged, persons whose language is other than English, the rurally isolated, and disabled persons. Thirty-five percent of the persons served enroll in an education program or find employment. These sites serve as models useful to other libraries in providing education and career information to adults.

Public libraries have always provided reader advisory services, either formally or informally, but new demands of users are requiring that librarians acquire greater skill and knowledge in assisting the adult learner. Librarians are aware that, in addition to people currently using libraries, many more could benefit from library services. To meet these demands and reach new users the State Library will:

a. Provide technical and consultant services to public libraries, emphasizing staff development and continuing library education directed at improving adult services and reaching additional users.

b. Identify and secure additional sources of funding to assist local libraries to improve and increase services to adult learners.

c. Encourage cooperation among libraries and other cultural and educational institutions and community-based organizations.

d. Seek State support to institutionalize and expand the EIC program.

e. Seek State aid funds to expand public library services that assist adults to increase their literacy skills.

5. Development of library service to residents of institutions.

Institutionalized persons need convenient free access to library services to meet their needs for information, education, and recreation. Most institution libraries cannot help residents adjust successfully to self and society. Most institution residents have no direct access to libraries serving the general public. Institution residents also have special needs and interests and require specialized library materials and services, including materials in Spanish and other languages and in nonprint formats. Institution libraries need strong support from public library systems and member libraries, and they need the capability to tie into NYSILL and other networks.

Special State appropriations for institution library service have been used to assist public libraries in providing additional service to residents of local institutions, including "books-by-mail" programs and interlibrary loan. In 1984, legislation authorized State aid to public library systems that provide services to State-operated correctional facilities. LSCA Title I grants to public library systems have enabled those systems to extend service to other types of institutions, including Division for Youth centers. In addition, LSCA grants to the State agencies operating institutions for youth and adults have enabled the Department of Correctional Services, the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, and the Division for Youth to plan, develop, and provide services to residents.

For the past several years, the number of men and women incarcerated in correctional facilities in New York has grown rapidly. The number in State correctional facilities alone grew from fewer than 15,000 in 1974-75 to over 36,500 in 1986. This has resulted in a number of new facilities, planned, in construction, or completed, and has brought about pressures to increase vocational, educational, and recreational programs for the inmate population. Over 30 percent of this population are between the ages of 16 and 24; an additional 24 percent are between 25 and 29 years. Typically,

they have less than a 12th grade education, but about 30 percent have a high school diploma.

One of the fastest-growing programs in State correctional facilities is college study. From a handful of college-level offerings available at one or two facilities in the early 1970s, these activities have expanded to a wide variety of programs offered by many colleges and in virtually every facility in the State. In the fall of 1984, 24 colleges offered more than 500 courses with an unduplicated enrollment of over 10,000 in State, Federal, and local correctional institutions. In the spring of 1985, more than 3,000 inmates of State correctional facilities were enrolled in two- or four-year degree programs. Nearly 240 certificates and some 350 degrees were awarded to inmates of State correctional facilities in 1984-85. Clearly, library services will become more important as these education programs grow.

The Office of Mental Health operates 33 psychiatric facilities, serving more than 22,000 inpatients and 71,000 outpatients. Patient library programs have become increasingly integrated with ongoing treatment services, acting as an enhanced therapeutic agent by providing stimulative and interactive programming on the wards as well as in the library. Patient libraries are also serving as information, educational, and cultural centers, assisting inpatients with developing skills necessary for a successful re-entry into the community. LSCA grants for a Patient Library/Media Center at Rockland Psychiatric Center have demonstrated library educational/vocational service through the use of computer, video, and audio programming. The library media center has served patients of varying learning disabilities, physical handicaps, and educational levels, and this model is being considered for statewide application.

An effective program for institution library service will require adequate support from the agencies which administer the institutions, staffing at the institution level, and full participation by institution libraries in the mainstream of library networking.

The State Library will:

a. Provide staff assistance and consultant service for the planning and development of institution library programs, emphasizing basic support from the agencies which administer the institutions and backup services from the agencies and library systems.

b. Provide information on effective institution library services and disseminate information through conferences and workshops.

c. Encourage libraries to pay particular attention to the needs of elderly persons in institutions.

6. Effective use of technology to improve services and efficiency.

Rapid technological change has affected and will continue to affect all aspects of library service and library systems. Libraries are changing as they add materials in new formats (microforms, videotapes, laser and video discs, and computer programs for self-instruction) to their collections. Library staffs are being reshaped and different personnel needs are being created as machines perform more clerical and professional tasks. Today's communications technology and computer-based storage and retrieval techniques make possible more rapid and efficient resource sharing. They also create the possibility of increased competition from a growing number of private providers of electronic information services.

Basic to the application of technology to library operations is the conversion of library catalogs to machine-readable format. Once library catalogs have been converted, automated acquisitions, accounting and circulation subsystems may be added to create an integrated system for collection management. Such a system may be shared by many libraries in a region. For resource sharing purposes, regional systems should be linked to create a statewide network with links to national networks like RLIN and OCLC.

As the initial move in building such a computer-based statewide network, Federal and State grant

funds are being used for regional automation planning, retrospective conversion of bibliographic and holdings records, and network coordination. Standards have been established for these projects and will be amplified as development of the network progresses.

The State Library must work with the libraries of New York State to achieve the greatest economies and benefits from the use of technology. Cooperation is needed to help libraries make cost-effective choices from the great variety of new equipment, materials, and systems now available; to ensure access for all library users to new instructional media and on-line reference tools; and to make certain that compatible systems for resource sharing are developed.

A plan has been developed to establish direction for future statewide technological development and to assure efficient use of limited resources. The purpose of this action is to provide libraries of all types, sizes, and locations access to all parts of the data base, wherever stored, and to encourage links to all national networks serving libraries in New York State. To accomplish this, the State Library will:

a. Assist cooperative regional planning that supports resource sharing and services.

b. Link the various automated (and generally dissimilar) library applications in the State, providing access to bibliographic and holdings records throughout the State.

c. Further develop machine-readable bibliographic and locator files for monographs and serials.

d. Sponsor appropriate studies to plan and design the technological component of a coordinated resource-sharing and document-delivery system.

e. Integrate LSCA funds, State aid for regional bibliographic and data base development, and other resources effectively.

f. Encourage and assist libraries of all types to make appropriate use of computers, including the experimental use and testing of new technological applications.

7. Preservation of endangered library resources.

The materials that libraries use to serve their readers are deteriorating at an alarming rate. Books, journals, and other paper library materials holding information important to further generations as well as today's library users are endangered. New information formats, whether magnetic or photographic, are not immune from their own set of hazards.

Books are fragile, but the printing of books in editions and the dispersion of copies has compensated for the hazards that face individual volumes. When a single copy is lost, another usually can be located. Even now, books printed 300 or 400 years ago, often in very small editions, can be found in multiple copies. But the assurance implicit in duplication is less comforting, however, for many books printed since 1850. All paper, and thus every book, deteriorates over time. The paper most often used for books manufactured since 1850 tends to be acidic and, for that reason, less stable and durable than earlier, alkaline paper. Books printed on acidic paper begin to deteriorate rapidly 50 years or so after publication.

Because of the size and composition of their collections, old, large libraries are especially hard hit. Typically, one-fourth of the volumes in large, comprehensive research libraries are described as brittle – that is, the paper breaks after one or two double folds of the page corner. The New York State Legislature has recognized this problem and, in 1984, enacted legislation providing State aid funds for conservation and preservation of endangered library materials in 11 comprehensive research libraries and for preservation of unique materials in other libraries.

Microfilming, deacidification, and emergency care of endangered materials are visible and dramatic actions. But training of library staff and readers in the proper care of materials, administrative and staff attention to the conditions under which materials are housed, and disaster preparedness are also basic to long-term care of important library resources. The Division of Library Development now has a conservation/preservation program

officer who cooperates with libraries, the State Archives, and other agencies concerned with the preservation of library and other research materials. To meet the need for technical and other assistance to libraries, the State Library will:

a. Provide technical and consultant services to public and other libraries on conservation/preservation planning and action.
b. Encourage development of regional and statewide strategies for preservation and disaster preparedness.
c. Administer the State aid program for conservation and preservation of library research materials.
d. Encourage the use of documentary films and slideshows that inform staff and the public about preservation needs and recommended action.

8. Construction and renovation of library facilities to improve service in systems and member public libraries and to provide access for physically handicapped persons.

Many library buildings are too small or are outdated. Changes in service programs and information technology are creating demands that existing library buildings lacking space, flexibility, adequate electrical wiring, and climate control cannot meet. Library buildings generally need modification to make them energy efficient and to remove architectural barriers that limit access by persons with physical handicaps.

Data supplied by public libraries in 1986 indicate that it would cost a minimum of $117 million to provide adequate public library physical facilities throughout the State. State-level and system-level planning in relation to physical facilities is needed to gain maximum value for construction expenditures and avoid possible overbuilding. State legislation in 1984 authorized State aid for public library construction, renovation, and modification of public library buildings, and the Legislature appropriated funds for the program in 1984 ($3 million) and 1986 ($2 million). Both State and Federal funds will be required to narrow the gap between need and present inadequate facilities.

To overcome the problem of inadequate facilities the State Library will:

a. Seek appropriations for State aid for library construction, renovation and/or modification of public library buildings.
b. Use Federal LSCA Title II and other available funds to assist library construction and renovation.
c. Conduct an annual construction needs assessment within the State.
d. Continue the State-level and system-level planning processes to gain maximum value for construction expenditures.

9. Improved school library media service to students and teachers.

School libraries are an integral part of the school program and as such they support the educational and instructional program of the elementary and secondary schools, providing students with the skills and attitudes needed to become lifelong library users. Children who have the opportunity to read widely in areas of interest to them and at a comfortable level of difficulty can improve their reading, visual, and analytical skills. If they have not learned the techniques of research and inquiry, children will not be able to benefit from the extensive resources of libraries as adults. The goal of lifelong learning and the success of adult independent learners depends heavily on the quality of library experiences in the formative years.

Research verifies that school libraries with professional staff can have a positive effect on student achievement. The continued development and improvement of school library services requires increased Federal, State, and local support for the recruitment and employment of certified school library media specialists to serve students, teachers and administrators in all schools, the acquisition of school library media resources, and the expansion of school library systems. Teachers, who may have many opportunities for helping students develop a love of learning and reading, need the help of school library media specialists

(and public librarians). Technology is changing schools and their libraries. Resources in other than print format are an integral and expanding part of the school library media program.

From 1979-1984, State funds supported 12 school library systems designed to strengthen individual school library programs and to interact with the established public library systems and the reference and research library resources systems. Legislation enacted in 1984 authorized school library systems, involving both public and nonpublic schools throughout the State.

To improve school library media service the State Library will:

a. Work with the Bureau of School Library Media Programs for the sound development of school library systems.
b. Strengthen liaison between the Bureau of School Library Media Programs and the Library Development Division.
c. Sponsor school/public library conferences to disseminate information on topics of current interest to library personnel.
d. Foster cooperation between school and public libraries in appropriate programs of service to children and parents.

10. Strengthening of the resources and services of the State Library to assure (a) the highest quality reference and research library service to the Executive, Legislative, and Judicial branches of State government; (b) efficient and effective interlibrary loan, networking, support and specialized library services to libraries and clienteles; and (c) planning, coordination, leadership and State financial participation in the provision of library service to all the people of New York State.

Effective access by all State residents to information resources requires coordinated planning, the full use of sophisticated technology, an administrative center for the statewide information and interlibrary loan network, strong collections of information materials, well-educated staff, and flexible staffing patterns. Each level of library service responsibilities must be identified and the State Library should assist in this process. The relationship of individual libraries to regional networks and the role of regional networks in statewide resource sharing requires definition and coordination at the State level.

Development and improvement of library services statewide requires consultant, specialist, and administrative staff in the Library Development Division and the Administration Unit for work with libraries, systems, networks, government agencies, professional organizations, and users. The State Library agency must strengthen its capacity in the collection and analysis of statistics for measurement and evaluation, develop appropriate continuing education programs, and develop effective communication with all types of libraries and organizations concerned with library, information, cultural, and educational services.

For the Library, priority is given to those programs and services which it can uniquely provide as the research library for the government and people of the State, as a statewide resource and administrative center for the interloan network and as a regional resource for the blind and visually handicapped.

For the Library Development Division, priority is placed upon the provision of staff with special skills capable of providing services usually not found at, or appropriate to, local or regional levels of service. Library Development staff provide leadership and support in areas such as organization, management, planning, evaluation, technology, continuing education, and service to special clienteles.

To implement this program, the State Library will:

a. Use the State Library collection, the resources of 13 referral libraries and a computer-based telecommunications network to improve statewide interlibrary loan network performance and to fill requests not satisfied by regional systems.

b. Maintain collection and staff strengths at the Library, which will ensure timely and effective response to interlibrary loan requests.

c. Use new techniques to improve library and network performance and provide access to a full range of information resources (including computerized data bases).

d. Support statewide public information programs designed to increase awareness of library services.

e. Seek State funds for services heavily dependent upon LSCA funds.

f. Provide consultant service and staff assistance for planning and development of library services.

g. Emphasize the review of plans of service as a means of exercising more current and systematic planning and evaluation.

Our common vision of networking is an environment in which libraries can provide each individual in the United States with equal opportunity of access to resources that will satisfy their and society's information needs and interests. All users should have access on a timely basis to the information they require without being faced with costs beyond their own or society's means.

To realize this vision, there must be technical and intellectual sharing of resources between the public and private sectors; local, state, and federal governments must fulfill their various responsibilities to individuals and society; and the diverse missions of the several types of libraries must be accomplished. As this vision becomes a reality, there will emerge a diverse but coordinated structure of networks rather than a monolithic one. Active research, rapidly developing technology, collaborative leadership, common standards, and shared communications will provide means by which the system will be further shaped as an interlocking series of local, state, regional, national, and international relationships that are capable of serving the nation's information needs.

—*Network Advisory Committee*
Library of Congress
1986

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1987 The Year of The Reader

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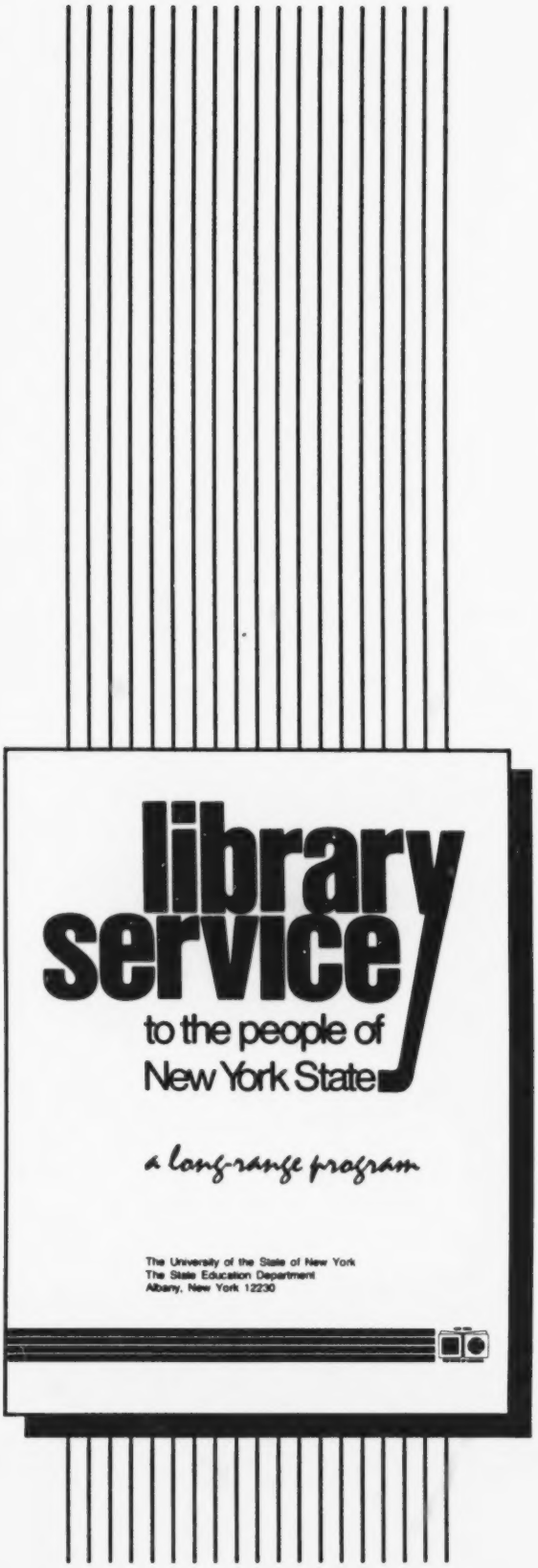

LSCA PROGRAM PURPOSES: NEEDS AND INTENDED ACTIONS

Supplement 1 to Library Service to the People of New York State

October 1, 1987 through September 30, 1992

The University of the State of New York
The State Education Department
Division of Library Development
New York State Library
March 1987

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FOREWORD

This document is intended as a supplement to New York State's *Library Service to the People of New York State*. It identifies current library needs in New York State and offers recommended actions for meeting those needs through the LSCA program. It is focused specifically on Title I, although there is a brief section on Title II. For needs and actions in regard to Title III, the reader is referred to the main document referenced above.

The section on Title I is organized by the Federal program categories, though not in the order in which they are found on the budget forms. New York State does not use the categories "Strengthening Metropolitan Public Libraries" and "Public Library Services to Areas Without Services."

The New York State Library supports the coordination of library programs among the various types of libraries in a number of ways. Coordination of programs with and among school libraries, public, academic, special, institutional libraries, and libraries serving the handicapped is accomplished through: representation on the LSCA Advisory Council; meetings with system directors, representative groups, and professional associations; and through dissemination of information about LSCA programs. Division of Library Development staff members work with public library systems, school library systems and reference and research library resources systems (which represent academic and special libraries) to ensure that LSCA funds are used to supplement and complement, rather than supplant, existing resources. To accomplish this, DLD staff members attend annual meetings and board meetings, make on-site visits whenever possible, and maintain written and telephone communication with the three types of systems. In addition, the institutional consultant in DLD works to ensure coordination of programs and projects between the State Library and other state agencies as well as among state agencies.

This document was prepared in consultation with the United States Department of Education's program officer for New York State. It was reviewed by the LSCA Advisory Council in December, 1986, and it will be distributed to New York State library systems in March, 1987, with the FY 1988 LSCA program documents.

Section I
Title I: Public Library Service

1. Disadvantaged

Need: Nearly 5 million New Yorkers are members of minority groups and another 3 million New Yorkers are educationally disadvantaged . The 1980 Census determined that 13.4 percent of the State's population lives below the poverty level. According to the New York State Labor Department, New York's unemployment rate (as of 11/86) is 5.8 percent. Each of these minority and disadvantaged groups has special informational needs. Collections should reflect community diversity as well as offer patrons the information needed for jobhunting, career planning, locating community services, discovering educational opportunities or understanding their ethnic heritage.

Objective

1. Quality service for all persons in their local communities.

Intended Action

1e. Provide materials and services to disadvantaged persons.

- The LSCA Annual Program Statements will encourage public library systems to apply for grants to serve disabled and minority populations. Examples of these would be: special ethnic or cultural programming; establishing job and/or education information centers; developing ethnic services and collections. Meeting the objective of improved service to disadvantaged persons requires access to specialized information resources, special formats or delivery methods that provide disadvantaged persons with the same wide variety of subjects, points of view, and comprehension levels available to other patrons. Programs taken out of the library and into neighborhoods, community centers, and other gathering places will make libraries visible to non-users.

- The Coordinated Outreach Services state aid program will promote special services to

disadvantaged persons; provide inner-city bookmobile service; job and career counselling; referral to education programs and activities; collection development of ethnic materials, job and career guidance materials, and high interest/low vocabulary materials.

- An outreach consultant in the Division of Library Development will meet on a regular basis with library staff providing outreach services, programs, and materials to disadvantaged persons. The Outreach Consultant will provide technical assistance to system personnel as needed.

1f. Encourage libraries to seek out and serve minority persons.

- Library system staff will be encouraged, through the Annual Program Statement and the Coordinated Outreach Services state aid program to identify disadvantaged persons within the system's service area and to organize services and programs to meet the special needs of the patrons they serve.

- Sensitizing library staff to the special needs of these groups make disadvantaged persons feel more welcome in the library.

- Library development staff will work with the library system staff to encourage the recruitment of minority librarians and library workers.

1h. Increase efforts to reach potential users through effective public relations, library outreach, and cooperation with community organizations.

- Library system staff will network with community agencies which serve disadvantaged persons. Presentations about library services will be made at agency and organization meetings. Handouts about library programs will be made available to clients of community agencies and members of community groups. Public relations contacts most likely to reach disadvantaged persons will be made.

- Library systems will be required to make a commitment to serving disadvantaged persons through specialized outreach services and programs.

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2. Blind and Physically Handicapped

Need: More than 150,000 New Yorkers fit the LSCA definition of "blind and physically handicapped." Meeting the objective of improved service to blind and physically handicapped persons requires access to information resources in special formats that provide persons with visual impairments the same wide variety of subjects, points of view and comprehension levels available to other library patrons. Special equipment, such as record players, cassette players, reading machines and low vision aids, make library materials accessible to the blind and physically handicapped.

Objective

3. Improved service to disabled persons.

Intended Action

3a. Encourage use of regional library services to the blind and visually handicapped.

- The New York Public Library for the Blind and Physically Handicapped, serving readers in the five boroughs of New York City and the two counties of Long Island, and the New York State Library for the Blind and Visually Handicapped, serving readers in 55 upstate counties, are the two regional libraries in the state designed to serve blind and physically handicapped users. Newsletters, readers' advisory services, a varied collection of materials in a variety of formats and the delivery of materials are services which these regional facilities will supply.

3b. Strengthen lines of communication between the regional libraries and other libraries, agencies and patrons, and encourage libraries to cooperate with other organizations to extend and improve services to disabled persons.

- The regional libraries for the blind will work with public libraries to identify and recruit patrons. The two facilities must also work with statewide and local agencies for the blind and physically handicapped.

- Public libraries and other local community agencies are important points of contact for this service. They can identify potential users, provide readers advisory services, introduce users to such conventional services as telephone reference and audio collections, and provide intermediary contact between the local user and the regional libraries.

3c. Maintain a full range of services and a strong collection of special media materials for blind and visually handicapped persons.

- Through LSCA funding, support the two regional full-service libraries for the blind and physically handicapped.

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3. Disabled

Need: Two million New Yorkers have physically-handicapping conditions other than blindness. Physical disabilities affecting vision, hearing, mobility, perception, or learning ability should not limit the quality of library service available to users.

Objective

3. Improved service to disabled persons.

Intended Action

3b. Strengthen lines of communication between the regional libraries and other libraries, agencies and patrons, and encourage libraries to cooperate with other organizations to extend and improve services to disabled persons.

- The LSCA Annual Program Statements will encourage public library systems to apply for grants to serve disabled persons. Examples of projects could be, but are not limited to, parenting of the disabled; programming for the disabled; developing collections of materials for disabled persons and their families; purchasing special reading aids – magnifiers, book holders, pageturners, etc.; job, education and career counselling for the disabled; and radio reading services.

- The Coordinated Outreach Services state aid program will encourage public library systems

to provide special services to the disabled: toy libraries for disabled children; maintenance of Kurzweil Reading Machines; delivery of library materials to the homebound; books by mail programs; annotated large print catalogs; sensitivity training workshops for library staff; high-interest/low vocabulary materials; and creating library collections of materials in special formats.

- The Outreach Consultant at the Division of Library Development will act as the State Library Liaison to the New York Library Association Round Table on Libraries Serving Special Populations.

- Local libraries and library systems will network with local and regional agencies serving the disabled to promote those services that would benefit disabled persons.

- Library systems will be required to make a commitment to serving disabled persons through specialized outreach services and programs.

3d. Cooperate with agencies which serve hearing impaired persons to provide to library systems information about deafness and its implications, along with resource materials to help meet the library information needs of persons with hearing impairments.

- The LSCA Annual Program Statements will encourage public library systems to apply for grants to serve the hearing impaired. Examples of projects could include, but are not limited to: placing TDD's in library facilities; offering special programs and services for the hearing impaired; and developing collections of materials for the hearing impaired and their families.

- The Coordinated Outreach Services state aid program will promote special services to the hearing impaired: sponsoring signed story hours; offering interpreters at library programs and board meetings; purchase of TDD's and

auditory assistance equipment; offering sign language classes for staff; and celebrating and/or recognizing deaf heritage month.

- Library systems should make a commitment to serving hearing impaired persons through specialized outreach services and programs.

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4. Institutionalized

Need: Approximately 100,000 people in New York State reside in institutions. Types of state institutions include correctional institutions, youth facilities, developmental centers, psychiatric centers and special needs hospitals. Residents of these institutions do not have direct access to the resources of public libraries and are dependent on receiving service within the institution. Like people in any other community, residents of institutions have diverse needs. Traditionally, library service has been provided as part of the educational program of the institution. In recent years, institutions have gone beyond the custodial care and education of residents and have become concerned with the reentry of people into local communities. Education and programming are essential for preparing people for that reentry. An effective library program helps residents develop self-awareness and confidence, provides an outlet for emotion, assists residents to return to society as productive citizens, and helps residents to develop coping skills. Materials and services for developing self-awareness and coping skills are essential and must be provided in a variety of formats.

Objective

5. Development of library service to residents of institutions.

Intended Action

5a. Provide staff assistance, and consultant service for the planning and development of institution library programs, emphasizing basic support from the agencies which administer the institutions and backup services from the agencies and library systems.

- The LSCA Annual Program Statements encourage State agencies which administer residential institutions to apply for grants to improve library service to institutionalized persons. Examples of such projects could include, but are not limited to, establishing collections of specialized materials; providing coordination of library services; establishing demonstration-type libraries for residents.

- An effective program of institution library service requires adequate support from the agencies which administer the institutions,

staffing at the institution level, and full participation by institution libraries in the mainstream of library networking.

5b. Provide information on effective institution library services and disseminate information through conferences and workshops.

- At least once per year, the New York State Library's Division of Library Development will hold a continuing education workshop which addresses the specific needs of institution librarians.
- A consultant in the Division of Library Development will be assigned as liaison with institution libraries. The consultant will offer advice and make on-site visits as appropriate.

5c. Work with public library systems in developing and maintaining services to residents of institutions.

- The Coordinated Outreach Services state aid program will promote special services to the institutionalized. Book delivery and programming at nursing homes, bookmobile stops at youth facilities, and special programs for the recently de-institutionalized are only a few possible activities which could be funded in this manner.
- State aid is available to public library systems to provide additional services and materials to State correctional facilities in their service areas. Types of materials may include foreign language, ethnic heritage, and high-interest/low vocabulary.

5d. Encourage libraries to pay particular attention to the needs of elderly persons in institutions.

- The Coordinated Outreach Services state aid program will promote special services to the elderly institutionalized. Films and videos provide welcome programs at nursing homes and large print books and periodicals meet the special needs of many older persons.

- The LSCA Annual Program Statement for Title I recognizes the elderly as a priority category and public library systems will be encouraged to include the residents of nursing homes in any project specifically targeted to the elderly.

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5. Limited English-speaking Ability

Need: More than 3 million New Yorkers have been identified as having limited English-speaking ability. New York State has always been a port of entry for new immigrants. In 1980, more than 20 percent of the 9 million residents of the New York City metropolitan area were foreign-born and some 25 major languages, from Arabic to Yiddish, were spoken by 30 percent of the residents of that area. Quality library service should not be hampered by limited English-speaking ability.

Objective

1. Quality service for all persons in their local communities.

Intended Action

1c. Strengthen services to persons with limited English-speaking ability by continuing to identify such users (and potential users) and providing programs and resources, including nonprint materials, for their use.

- The LSCA Annual Program Statements will encourage public libraries to apply for grants to serve persons with limited English-speaking ability. Examples of these could be, but are not limited to, ESL training; coping skills for new Americans; and establishing collections of materials, in a variety of formats, to assist speakers of other languages in learning English.
- The Coordinated Outreach Services state aid program will encourage public library systems to provide special services to persons with limited English-speaking ability. Training in reading and writing English; special coping skills training; materials in a variety of formats, to help a foreign-born person to learn English; and programming in foreign languages are some of the activities to be carried out with this funding.
- Public library systems will work to sensitize library staff to the special needs of these

groups and make those persons with limited English-speaking ability feel more welcome in the library.

- Bilingual signage and publicity in public library systems will allow persons with limited English-speaking ability greater access to library materials, services and programs.

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6. Elderly

Need: One of the most significant demographic trends in New York State, as in the nation, is the aging of the population. That segment of the population of persons 60 years or older is growing at a faster rate than any other age group, with large increases occurring in the over-75 age group. New York State has an estimated elderly population of 3.2 million, second in size only to California's 3.4 million. In 1980 the elderly represented over 17 percent of the population, as compared with 15.5 percent in 1970. By 2010, the elderly are expected to constitute over 21 percent of the population. Collections and programs should reflect the diversity of interests and backgrounds of elderly persons.

Objective

1. Quality service for all persons in their local communities.

Intended Action

1g. Encourage libraries to serve a growing population of elderly.

- The LSCA Annual Program Statements will encourage public libraries to apply for grants to serve the elderly. These projects might include, but are not limited to: collections of large print books; the addition of multi-media kits for the elderly to the collection; homebound and nursing home delivery service; information and referral services specifically for the aged; retirement and preretirement programs; and other special programming activities.

- The Coordinated Outreach Services state aid program will promote special services for the elderly. These may include bookmobile or other delivery service to nursing homes; delivery to the homebound; deposit collections in senior high-rise apartment buildings; senior drama clubs; senior information services; large print materials; annotated catalogs of large print materials; senior volunteer

programs; and a wide range of programming aimed at the elderly.

1h. Increase efforts to reach potential users through effective public relations library outreach, and cooperation with community organizations.

- Library system staff will network with community agencies which serve elderly persons. These will include local offices for the aging, RSVP, AARP, meals-on-wheels programs, senior day care centers and senior citizen social groups. Presentations about library services will be made at agency and organization meetings. Handouts about library programs will be made available to clients and/or members of these agencies and/or groups. Public relations contacts most likely to reach older persons will be made.

- Library systems will be required to make a commitment to serving the elderly through specialized outreach services and programs.

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7. Literacy

Need: An estimated two million residents of New York State are in need of assistance to improve their reading and writing skills. Many of these persons need to be recruited and/or referred to instructional programs. Collections of materials, covering a wide range of coping skills and pleasure reading, should be available at the appropriate reading level.

Objective

1. Quality service for all persons in their local communities.

Intended Action

1d. Provide materials and services designed to help functionally illiterate persons begin to use libraries.

- The LSCA Annual Program Statements will encourage public libraries to apply for grants to serve functionally illiterate persons. Examples of these projects would include, but are not limited to: projects providing one-to-one tutoring; projects providing classroom or small group instruction; establishing collections of high interest/low reading level materials for adults, particularly in coping and life

skills areas; providing microcomputers and appropriate software as individualized learning tools, and training volunteer tutors to work with functionally illiterate adults. Programs taken out of the library and into neighborhoods, community centers, and other gathering places will make libraries visible to non-users.

- The Coordinated Outreach Services state aid program will promote special services to the educationally disadvantaged, of which functionally illiterate persons are a part. Activities listed above would be done with this funding.

- Local public libraries and public library systems will be encouraged to apply for discretionary grants through the Adult Literacy Services state aid program. Activities funded through this source must be planned and carried out in cooperation with another literacy provider.

1h. Increase efforts to reach potential users through effective public relations, library outreach and cooperation with community organizations.

- Library system staff will network with school, college and BOCES-sponsored ABE programs, community-based literacy, providers and volunteers organizations, providing information about library literacy services.

- Radio and television spots, the public relations methods most likely to reach functionally illiterate adults, will be used by public library systems to advertise these programs.

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8. Community Information and Referral Centers

Need: Society in general, and New Yorkers in particular have a wide range of information needs. Libraries should be able to provide educational information, career guidance and referral services to all individuals. Factors which make the public library a particularly appropriate service delivery point include (1) its neutrality, (2) its established identity as a community information center, (3) its ability to classify, store and retrieve large quantities of information, (4) accessibility, and (5) prolonged hours of service to the general public.

Objective	Intended Action
4. Improved service to adult learners and others who use or could use the library as a resource for general, cultural or vocational information.	• The LSCA Annual Program Statements will encourage public library systems to apply for grants to provide community information and referral centers. Examples of these projects could be, but are not limited to: job and career information centers; education information centers; or age-specific information and referral (ie. teens or young adults). • The Coordinated Outreach Services State aid program will encourage public library systems to provide information and referral services to the unemployed or underemployed who are in need of job and/or career information, and to the educationally disadvantaged.

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9. Areas With Inadequate Service

Need: Quality public library service needs to be available to all residents of New York State. There is a particular need to focus on improving public access to public library resources and promoting resource-sharing through the effective use of technology. Related to this, public library staff and trustees must be kept informed regarding the needs of users and current trends in technology. Although many people think of New York State as very urban in nature, there are many rural, sparsely populated areas within the state. In fact, New York has a rural population of nearly three million and ranks sixth nationally in terms of size of rural population. Providing quality public library service to residents of these very rural areas can be very costly because of geographic distances and economic conditions.

Objective	Intended Action
1. Quality service for all persons in their local communities.	1h. Increase efforts to reach potential users through effective public relations, library outreach, and cooperation with community organizations. • The LSCA Annual Program Statements will encourage public library systems to determine which library service needs are not currently being met, plan projects to meet these needs, and apply for grants to implement those projects. Projects might include, but are not limited to: parenting; special children's services and programs; young adult services and programs; special programs addressing rural needs and concerns.

4. Improved service to adult learners and others who use or could use the library as a resource for general, cultural or vocational education.

4a. Provide . . . staff development and continuing education directed at improving adult services.

- The LSCA Annual Program Statements will encourage public library systems to apply for grants to offer training to public library staff and trustees. Topics of the training might include, but are not limited to: being an effective trustee; inexpensive reference materials and how to use them; and technological trends and techniques.

6. Effective use of technology to improve services and efficiency.

6a. Continue to support machine-readable bibliographic and locator database development.

- The LSCA Annual Program Statements will encourage public library systems to apply for grants for multi-system monograph conversion projects.

- The Regional Data Base state aid will promote and expand uses of technology for improved library services. Projects may include, but are not limited to, online circulation systems and online catalogs.

6e. Integrate LSCA funds, state aid for regional bibliographic and data base development and other resources effectively.

- Division of Library Development will employ two Automation Consultants to monitor all automation development which utilizes State or Federal aid. This will ensure that no duplication of effort occurs.

6f. Encourage and assist libraries of all types to make appropriate use of computers, including the experimental use and testing of new technological applications.

- The LSCA Annual Program Statements will allow each public library system to apply for one microcomputer project before the end of FY 1988.

- The Regional Data Base state aid program will promote and expand uses of technology for

improved library services. Projects may include, but are not limited to: retrospective conversion of monographs; integrated online systems; electronic mail; and the purchase of CD-ROM or similar equipment for member libraries.

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10. Major Urban Resource Library

Need: Seven cities in New York State serve populations of more than 100,000 persons. The public libraries which serve these cities need special assistance to furnish services at a level required to meet the demands made by individual users and other libraries because of the value of these libraries' collections.

Objective

2. Improvement of library systems, their resource libraries, and further development of intersystem cooperation, making it possible for libraries of all types to serve their users more completely, efficiently and effectively.

Intended Action

2f. Strengthen major urban resource libraries as Federal funds become available.

- The Division of Library Development staff will work with the following libraries to add materials and resources which will strengthen and expand their services and collections, as well as other types of support for these collections with LSCA funds. A limited amount of this money will be spent for personnel. The rest of the money will provide for materials in subjects of regional concern. These subjects may include, but are not limited to: local history and area business and economic interests. Eligible libraries are:

  Brooklyn Public Library
  Buffalo and Erie County Public Library
  New York Public Library
  Onondaga County Public Library
  Queens Borough Public Library
  Rochester Public Library
  Yonkers Public Library

11. State Library Administrative Agency

Strengthening the State Library and Strengthening Library Development

Need: New York's 732 public libraries, serving a population of over 17 million, look to the State Library as a backup resource in providing materials and services to the public. They also look to Library Development for the planning, coordination and leadership required in developing library services statewide.

Objective

9. Strengthening of the resources and services of the State Library to assure (a) efficient and effective interlibrary loan and services to public libraries; and (b) planning, coordination, leadership and state financial participation in the provision of library service to all the people of New York State.

Intended Action

9a. Use the State Library collection, the resources of referral libraries and a computer-based telecommunications network to improve statewide interlibrary loan performance and to fill requests not satisfied at local levels.

9b. Maintain collection and staff strengths at the Library, which will ensure timely and effective response to interlibrary loan requests and reference referrals.

9c. Provide access to a full range of information resources (including computerized data bases).

9e. Provide consultant services and staff assistance for planning and development of library services.

- Library Development Division will: assist in planning and developing public library services at the local, regional and intersystem levels; gather, interpret, and disseminate statistics useful to library decision makers; administer programs of State and Federal aid to systems and individual libraries; certify public librarians; coordinate continuing education for library personnel and public library trustees; and cooperate with other offices within the Education Department to expand services to libraries within the state.

12. Administering the LSCA Program

Need: In order to administer the LSCA program at the state level, funds are needed for: support for the activities of administrative personnel including travel, supplies, equipment, postage and telephone costs; financial management of the program, including indirect costs; support of the activities of the LSCA Advisory Council, including travel, supplies, postage and telephone costs; contractual services for specific management activities such as surveys or evaluations that may be used for administering the program; and printing and disseminating information related to the Federal program to libraries in the state.

Objective	Intended Action
To administer the State plan and its program objective.	The State Library will, through the staff of the Division of Library Development (DLD) and the State Library Administrative Unit: administer and monitor a competitive grant program under Titles I, II, and III, including: planning and coordinating the review process; participating in the review and evaluation of project proposals; offering consultant services (via telephone, correspondence, and field visits) in proposal preparation; and conducting on-site visits and evaluations of grant recipients.
To administer the State plan in accordance with all financial requirements.	The New York State Education Department will establish and maintain fiscal controls and accounting procedures as necessary to assure proper disbursement of, and accounting of funds; it will also develop and submit reports to the U.S. Department of Education as required.
To continue to develop and expand a program for extending and improving library services effectively utilizing LSCA funds.	The State Library will appoint a statewide Advisory Council to advise on the development of, and policy matters relating to, administration of the State Plan and to assist the agency in evaluating library programs, services and activities under the State Plan.
To assist the library community in planning, developing, extending, and evaluating library programs and services to populations and areas within parameters of LSCA.	With the advice and assistance of the LSCA Advisory Council and other appropriate agencies, organizations, and institutions, DLD will ascertain the needs of specific populations and areas, and the degree to which those needs are being met.
To collect and disseminate information about programs and services to the library community.	The State Library will collect and disseminate information in agency publications and other appropriate publications about LSCA and other programs and projects.

Section II
Title II: Public Library Construction

Needs: Many library buildings are too small or are outdated. Changes in service programs and information technology are creating demands that existing library buildings lacking space, flexibility, adequate electrical wiring, and climate control cannot meet. Library buildings generally need modification to make them energy efficient and to remove architectural barriers that limit access by persons with physical handicaps. Data supplied by public libraries in 1984 indicate that it would cost a minimum of $106 million to provide adequate public library physical facilities throughout New York State. State-level and system-level planning in relation to physical facilities is needed to gain maximum value for construction expenditures and avoid possible overbuilding.

Objective

7. Construction and renovation of library facilities to improve service in systems and member public libraries and to provide access to the physically handicapped.

Intended Action

7b. Use LSCA Title II Annual Program Statements to encourage and assist library construction and renovation in bringing about:

- Adequate and updated library buildings in accordance with the building standards (criteria) in the LSCA Title II *Annual Program Statement*.
- Energy-efficient library buildings.
- Buildings designed to be in compliance with the American Standard Specifications for making Buildings and Facilities accessible to, and usable by, the physically handicapped person. (Applicants for Title II LSCA funds are required to give assurance of compliance).

Section III
Title III: Interlibrary Cooperation and Resource Sharing

The needs and plan for action for Title III are described in the "Library Resources Sharing in New York State and Technological Change" section of *Library Service to the People of New York State*.

The State Education Department does not discriminate on the basis of age, color, religion, creed, disability, marital status, veteran status, national origin, race, or sex in the educational programs and activities which it operates. Inquiries concerning this policy of equal opportunity and affirmative action should be referred to the Department's Affirmative Action Officer, Education Building, Albany, NY 12234. Phone (518) 473-1265.

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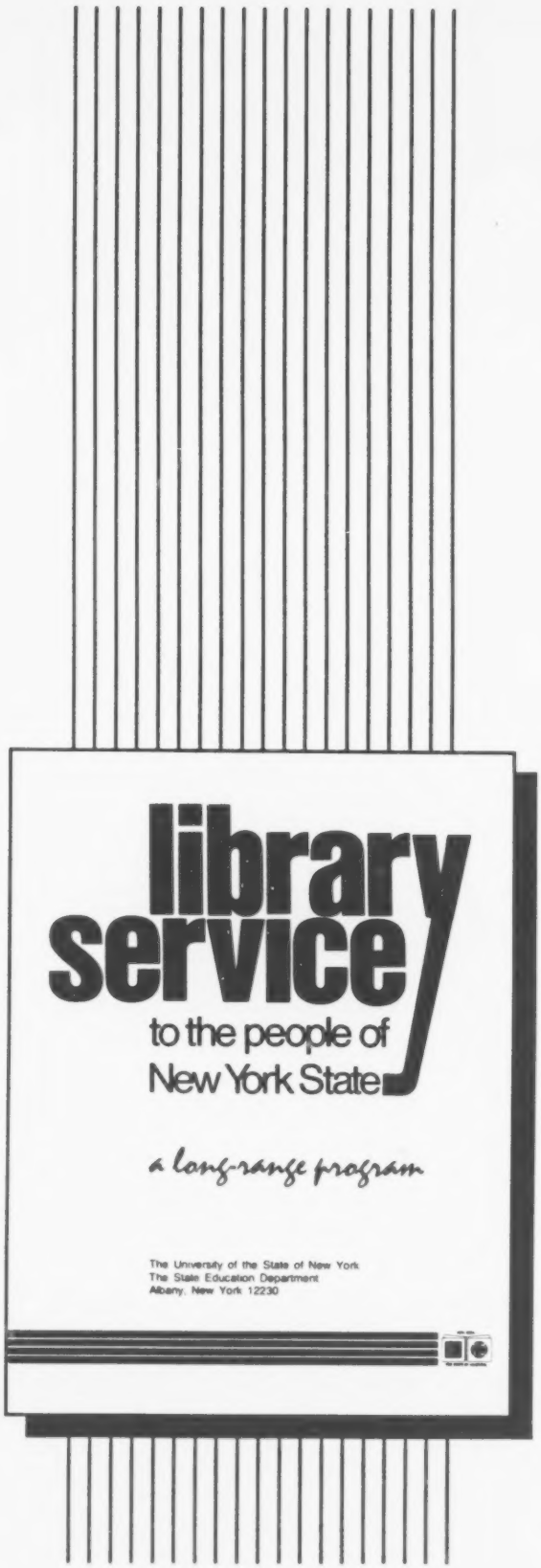

POLICY GUIDELINES ON THE ADMINISTRATION OF LSCA FUNDS 1987-88

Supplement 2 to Library Service to the People of New York State

October 1, 1987 through September 30, 1992

The University of the State of New York
The State Education Department
Division of Library Development
New York State Library
March 1987

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New York State Library
Division of Library Development

Policy Guidelines on the Administration of LSCA Funds

March, 1987

The following policy guidelines, many of which are taken from documents approved by the LSCA Advisory Council and by the Board of Regents, will be observed in the administration of LSCA funds under the Long Range Program.

I. GENERAL POLICY STATEMENT

A. Priorities

The New York State Library, through its Division of Library Development (DLD), supports the service priorities (see Section II.A.2) of the Federal Library Services and Construction Act in making grant awards and in its expenditures for statewide services and administration of the LSCA program.

Within those service priorities, while DLD does not set dollar level targets, it will, in the *Annual Program Statements* each year, emphasize certain target groups or specific types of projects. In cases where a statewide need must be addressed, some funds under Title I, Project I and Title III, Project 7 may be set aside for invitational grant programs. Three such programs were the Microcomputer Literacy Program in 1982 (Title I); the Bilingual Invitational Grant Program in 1983 (Title I); and the Title III Invitational Grant Program in 1986 for projects related to regional database development.

Since FY 1984, DLD has asked systems to rank their proposals in priority order. DLD staff give this order the fullest possible consideration in the review process, but to meet overall statutory and program requirements may not always be able to fund systems' proposed projects in their priority order.

B. Relationship Between Federal/State Programs

LSCA funds comprise about one-tenth of the total aid available to libraries through DLD. As indicated in the subtitle to the Long Range Program, *Library Service to the People of New York State*, DLD's approach to improving library services in New York State is through utilizing local, State, and Federal resources in an integrated fashion. Certain Federal LSCA programs and State categorical programs, including outreach services, Education Information Centers, automation/technology programs, and literacy are directly complementary. In addition, literacy programs have received considera-

ble local support, as, for instance, in New York City from the Municipal Assistance Corporation.

State aid for public library systems provides continuing, significant support for public library services. The LSCA national priorities, funding history, appropriations, and the limited amount of LSCA funds are the basis of the policy which uses LSCA funds in a targeted, supplementary way and warns against expectations that Federal support for specific projects or services will continue indefinitely.

C. Application Review Process

As indicated in the Annual Program Statement (APS), the application process is in two stages, with an initial proposal and a later, full application with detailed budget.

The review at each stage involves staff and administrators of DLD and the NYSL. In addition, DLD may on specific occasions request reviews by other SED staff, as was done with the Microcomputer Literacy Program and the Bilingual Invitation Program.

Projects may be denied or considerably reduced at the initial stage for many reasons. The most frequent reason is that funds are limited. However, some denials at the proposal stage occur because projects are (1) inappropriate for LSCA priorities, (2) ill-defined, without clear purpose or objectives, or (3) not in keeping with guidelines stated in either the APS or other relevant documents.

Two major categories often affected by such cuts or reductions are personnel and equipment. The instability of Federal funds in the past few years makes it unwise for DLD to encourage the addition of new or increased personnel for either new projects or those that have continued for some time. In a year when reductions are necessary, DLD will look carefully at equipment requests. In all instances, personnel or equipment not justified in the narrative application will be eliminated.

Most denials occur at the proposal stage, but in recent years there have been several denials at the second stage. This may occur for two main reasons: (1) review of the fully developed application may reveal that the project does not meet the LSCA priorities or DLD policies, or will not be sufficiently valuable to warrant use of limited funds; (2) delay in receipt of funds or reduction in anticipated allocation may necessitate caution in starting new projects. The Gramm-Rudman-Hollings Amendment continues to have an effect on LSCA funding. While that amendment is operational, there is always the possibility that cuts will be necessary after applications have been requested and, in cases of cuts at the national level, after projects have been approved.

The schedule for receipt of proposals and applications and for notifications to systems is in the Title I APS. DLD staff make every effort to meet those deadlines within the limitations of often-delayed appropriations at the national level.

D. Eligibility for Participation

Specific criteria for eligible participants are detailed in the Annual Program Statements and in later sections of this document. In general, except for MURLS grants to seven public libraries, grants are made to public library systems, reference and research library resources systems, and State departments or administrative agencies which operate residential institutions.

E. Administration, Planning and Evaluation

The State Library uses a variety of sources of advice and assistance in planning and evaluation of its programs and services. In addition to the LSCA Advisory Council and the Regents Advisory Council on Libraries, staff maintain

communication and dialogue with system directors, New York Library Association, New York State Association of Library Boards, users, and others.

Programs undertaken with the assistance of LSCA funds are evaluated in a number of ways:

a) Applicants are required to submit a completed application form indicating measurable objectives for projects. Each project application is expected to provide specific criteria for evaluation of the project's objectives (see pages 4-5 of the Title I APS). Applications are reviewed by State Library staff and, on occasion, by other SED staff. Decisions to fund and at what level are based on information provided in the applications. Clearly stated, measurable objectives and specific criteria for evaluation are major considerations in the review process.

b) In the several reports (6-, 9- and 12-month) required of each funded project, the subgrantee must indicate whether the objectives of the project are being met. Evaluative criteria are particularly important for these reports.

c) Field visits by LSCA program staff and other DLD consultants to project sites help to monitor program accomplishments and gather information on the administration and implementation of projects.

d) Annually, the LSCA Advisory Council evaluates a selection of projects from the most recently completed year by means of a review of reports and, in some instances, first-hand knowledge.

e) In addition, the State Library from time to time engages outside evaluators to assess a project or group of projects.

F. Consultants

Consultants may be hired on a total rate contractual or per diem basis. If the total rate basis is used, the contract should clearly state the work expected of the consultant, the timetable for the work, and give a breakdown of costs covered by the contractual figure. If travel costs are paid separately and outside of the contract, that should be stated. The project budget will then show an itemization of travel costs under the Travel category.

If consultants work on a per diem basis, the contract (or letter of agreement) should state the number of days and the per diem rate. If other expenses, such as travel, are paid separately, the agreement should so state.

There is some allowance for variation in rates for consultants in different parts of the state. Ultimately, the fee is determined by the work to be done, the credentials of the consultant, the time and materials required, and the location of the project.

G. Publications and Productions

Publications and other productions, such as slide shows and videos, which are created under an LSCA project must include the following acknowledgement:

> "This publication was supported by Federal Library Services and Construction Act Title _____ funds, granted by The New York State Library."

H. Expenditure of Funds

1. Uses of Funds

The following restrictions are outlined in the Title I APS and apply to all state-administered LSCA programs.

a). All Federal funds shall be expended solely for the purpose for which paid.

b). They must be spent in accordance with all applicable laws and regulations governing this program.

c). They may not earn interest and cannot be used to pay interest on loans.

d). They may not be used for political activities.

e). Any income earned under this program must be properly accounted for and utilized in accordance with Federal laws and regulations.

f). Grant recipients are advised that if fund raising activities of any kind are involved in the work of an LSCA project, such activities must be paid for by local support and that fact must be indicated in all narrative reports of the project.

g). Local support (excluding capital expenditures) of agencies receiving a Federal grant may not be reduced because of the receipt of Federal funds.

2. Encumbering Funds

In order for certain types of purchases, such as equipment, library materials and supplies, to be received and possibly even paid for within a project year, we suggest that all grant recipients order such materials **no later than June 1** of the project year.

3. Requesting Funds and Reporting Expenditures

Except for the initial 25% payment at the beginning of a project, LSCA funds are released on the basis of an approved "Expenditure Report and Monthly/Quarterly Request for Funds" (FA-25). It is very important that these reports and the "Final Project Expenditure Report" (FA 10-F) be filed on time as DLD's ability to report to the U.S. Department of Education depends on information concerning expenditures at the local level.

Effective in FY 1988, DLD will establish procedures for withholding payments for current year projects if expenditure and narrative reports for previous years are not filed in a timely manner.

Consistent disregard of filing deadlines may result in a system's being declared ineligible to receive LSCA funds.

I. Audits

The Federal Single Audit Act of 1984 has many implications for LSCA. Some of the library systems are already experiencing the results of this new legislation.

In FY 1987 we added a paragraph to page 9 of the LSCA application, and we call it to your attention here:

> "...the applicant will provide copies of such financial and program audits of LSCA projects as Library Development may request to meet the requirements of the Federal Single Audit Act of 1984."

At this point we have not established specific requirements for submission of audits. However, we recommend that all systems have an annual audit and that LSCA funds be reported on in that audit.

II. TITLE I — PUBLIC LIBRARY SERVICES

Grants are awarded under this Title to public library systems, to major urban resource libraries, and to State departments or administrative agencies which operate residential institutions. In addition, Title I funds are used to strengthen appropriate services of the State Library, which provides back-up resources for the entire State; to assist DLD in its work of extending and improving library services statewide; and to administer the LSCA program.

A. Public Library Systems

1. Eligibility

Twenty-two public library systems in New York State, approved under Section 272 of the Education Law, are eligible for participation under Title I. Except for an award to The New York Public Library for a Regional Library for the Blind and Physically Handicapped and major urban resource libraries (MURLS) awards to seven specific public libraries, grants under this Title are competitive.

2. Priorities

Systems receive copies of the APS annually and are expected to submit applications addressing the LSCA priorities as outlined in the APS. Those priorities include specific target groups as well as specific purposes. Since 1984 the target groups include those who are:

a. culturally, educationally, and/or socioeconomically disadvantaged;

b. illiterate;

c. limited in English-speaking ability;

d. elderly;

The specific purposes include:

a. promoting libraries as community information and referral centers;

b. promoting effective use of technology;

c. providing special programs in rural or urban areas with inadequate service.

Systems are requested to submit applications for projects providing programs of service directed at target groups or fulfilling one of the specific purposes. It is expected that LSCA funds are supplemental only, the basic support for libraries and library systems coming from local and State aid. Because of this condition, DLD often denies projects that appear to be "materials-only" requests for items that would normally be purchased under a library's materials budget. Such denials may occur regardless of material format.

In general, projects are focused on one target group or one purpose. Because of reporting requirements to the U.S. Department of Education, DLD asks systems not to combine types of service; for example, a project intended to serve both illiterates and non-Englishspeaking should be presented as two separate projects so that New York State's effort in meeting the LSCA priorities is clearly demonstrated.

Over the past two program years, DLD has indicated to some systems with very large multi-faceted projects that the significant components must be broken out into separate projects. This requirement will continue, and systems are advised to divide their projects clearly for FY 1988.

3. Specific Types of Projects

a. Projects for Effective Use of Technology

Projects in this category would improve public access to library resources and promote resource sharing through effective use of technology. Specific guidelines for these projects are:

(i) Projects must improve Statewide access to bibliographic and location information and be consistent with the region's five-year plan for the development of bibliographic databases as well as the long range plans of the public library systems involved in the project.

(ii) Bibliographic databases must be designed to meet the information needs of all library users in the State. Access may be through a regional center or system, by a local library, or by an individual via an online terminal, videodisc, microform or printed catalog.

(iii) Data created or entered into a database through the use of these funds shall be available to the State Library without charge.

(iv) Data must adhere to standard formats:

(a) Monographic data must meet MARC standards or a compatible subset of the standards approved by the State Library.

(b) Serial records must conform to the "I" level MARC serial record as defined in OCLC and CONSER operating and editorial manuals. Serial holdings statements must conform to the ANSI standard for summary holdings statement.

(c) Communications disciplines must meet the various appropriate national standards and must be approved by the State Library.

(v) Although an LSCA grant is awarded for one year only, each application must include a three-year cost projection showing both the amount and sources of funding. LSCA funding for development projects will not normally exceed three years. The ability to continue a project or maintain its outputs will be an important consideration in initial funding.

(vi) The projects must be cooperative and be conducted jointly by two or more public library systems.

Applicants for projects in this category must submit, in addition to the regular LSCA proposal form, a completed "Automation Project Supplement" form which is part of the proposal materials packet mailed to systems annually. Large sums of money are usually involved in these projects and detail requested in that form is necessary in evaluating the proposals.

b. Microcomputer Literacy Projects

Following a successful invitational grant program in 1982, DLD has offered all systems which did not receive an invitational award a one-time grant for such a project. The overall goal of this program is to ensure equality in the educational process for citizens of New York State by providing computer awareness and computer literacy programs in their public libraries.

Since 1983, sixteen systems have received awards for such projects. For FY 1988, DLD offers one final year for microcomputer literacy projects. The six public library systems which have not previously had a project may apply: Brooklyn, Chautauqua-Cattaraugus, Nioga, Ramapo-Catskill, Suffolk, and Upper Hudson. These systems may apply for grants up to a maximum of $5,000 per site for the procurement of equipment and software only. No funds may be used for personnel, though small amounts may be requested for training of staff.

c. Regional Trustee Workshops

For several years DLD has approved projects involving public library trustee workshops. Because we think it is

important to carry out such projects on a regional basis, a basic requirement for these projects is that they involve two or more public library systems. Grants for such projects may be awarded for up to $9,000.

B. Major Urban Resource Libraries

1. Eligibility

When the annual LSCA Title I appropriation exceeds $60 million nationwide, the major urban resource libraries serving cities of 100,000 people or more in New York State will be notified by DLD that they may apply for projects to meet their needs. This involves the following seven public libraries serving Buffalo, New York, Rochester, Syracuse and Yonkers:

Brooklyn Public Library
Buffalo and Erie County Public Library
New York Public Library
Onondaga County Public Library
Queens Borough Public Library
Rochester Public Library
Yonkers Public Library

Allocations of funds are determined by a formula based on the percentage of the 1984 estimated total urban population each city represents added to a base figure. In FY 1987, P.L. 99-500 required distribution of 45.6 percent of the funds made available as a result of the state's allocation from funds appropriated in excess of $60 million.

2. Criteria

In addition to meeting other applicable requirements for participation in the program, an eligible library identified above must:

a) have a collection of at least 230,000 volumes, with appropriate specialization in subjects of regional concern, including local history, business and economic interests of the area.

b) be open at least 55 hours per week, on at least six different days, and have evening and weekend hours.

c) have at least one professional staff person per 10,000 population.

d) allocate and expend for library materials at least 5 percent of the total operating budget.

e) spend a minimum of $.50 per capita for library materials.

f) participate fully in interlibrary lending and access programs sponsored by the Reference and Research Library Resources System.

This Title I project emphasizes the purchase of materials to improve the library's collection and its ability to serve as a regional resource. However, the LSCA funds are intended to supplement, not supplant, local support.

C. Institution Library Service

1. Eligibility

In order to provide improved library service to persons resident in State institutions, five State agencies are annually invited to apply for LSCA funds. The eligible agencies are:

(1) Department of Correctional Services

(2) Department of Health

(3) Office of Mental Health

(4) Office of Mental Retardation and Developmental Disabilities

(5) Division for Youth

The purpose of such projects is to provide library service, comparable to the service available to the general public, to persons who do not have access to these facilities because they are institutionalized.

2. Criteria

Project applications will be evaluated with the highest priority going to projects and/or agencies which:

(1) Clearly meet the criteria defined on pages 3-5 in the Title I APS.

(2) Best combine Federal and non-Federal funds for provision of institution library service.

(3) Have successfully carried out other LSCA projects and have filed all reports.

(4) Have demonstrated an ongoing commitment to improving library services.

Because of limited funds available under this project, DLD has established a policy of rotating the grants so that no State department or agency can anticipate renewal each year. Effective with the FY 1987 program, no project in this category will be funded more than two years continuously.

To improve library service for residents of State institutions, the State Agency may invite applications for grants from a public library system or a State department or administrative agency. Such a grant may be invited at any time during the calendar year.

D. Blind and Physically Handicapped

1. Eligibility

Local library resources for serving the blind and physically handicapped are supported by two regional libraries for the blind and physically handicapped in New York State.

The New York State Library for the Blind and Visually Handicapped serves as the Regional Library for 55 counties in upstate New York. Staff of this library provide direct services to 20,000 readers, work with public libraries, and, where appropriate, other libraries to encourage them to develop special services for blind and physically handicapped readers at the local level.

The New York Public Regional Library serves five counties in the New York City area and two counties on Long Island. The grant to this library supports mail-order library service to 23,000 blind and physically handicapped readers in the seven counties, local production of titles to supplement the nationally selected book collection, training of volunteers for equipment maintenance and repair programs, and staff to assist patrons using reading aids.

2. Criteria

Applications meeting the conditions outlined in the Title I APS are required from each of these regional libraries.

III. TITLE II – LIBRARY CONSTRUCTION

For information on purpose, eligibility, allocation of funds, and program time schedule, see Sections 1-8 of the Title II Annual Program Statement.

IV. TITLE III – INTERLIBRARY COOPERATION AND RESOURCE SHARING

A. Purpose

Funds under this Title provide for the development and expansion of networks of library cooperation which will produce effective coordination of the resources of various types of libraries. Projects under this title may focus on bibliographic control, access, and continuing education projects involving participants from more than one type of library.

Regional planning required in the State-funded Regional Bibliographic Databases for Intersystem Resources Sharing Program guides LSCA Title III automation grants. The major emphasis and direction of this planning are on coopera-

tive regional efforts which support resource sharing and services in local libraries.

B. Eligibility

Grants may be awarded to the 22 public library systems and 9 reference and research library resources systems as approved under Section 272 of the Education Law. As noted below the applications must be consistent with the regional plan for bibliographic databases.

C. Criteria

The following are several criteria which must be met by all applicants:

a) The project proposed must benefit libraries of two or more types with evidence of co-endorsement from all which are participating.

b) The benefits of the project must be made available to all libraries and their staff and clients on no smaller a regional basis than that of a reference and research library resources system.

c) Activities covered by these grants shall be in addition to, and compatible with, those authorized by the basic system plan of each type of system.

d) All proposals for projects involving automation or data bases must meet the specific guidelines stated in Section II.A.3.a. of these policy guidelines.

e) A proposal for automation including retrospective conversion of bibliographic and holding data for serials or monographs must be consistent with the region's five-year plan for bibliographic databases and with administrative guidelines for retrospective conversion (Appendix A).

D. Specific Types of Projects

1. Bibliographic Control

a. Union List of Serials (ULS)

Since 1979 nine regions have received awards for projects involving the development of regional union lists of serials and by 1986 six regions had completed the initial development of their lists. Metro has a continuing project underway; Western New York and Long Island are completing their projects in FY 1987. It is important to note that LSCA funds are provided to assist in the development, not the maintenance of, these union lists of serials. Continued updating and maintenance are considered to be a regional responsibility and regions may apply for funding in support of these activities under the Regional Bibliographic Databases program.

In 1986, all regions were given the opportunity of expanding their ULS projects to include the holdings of the new school library systems. Depending upon availability of funds and other developments, DLD may similarly invite applications for defined expansions of union lists of serials.

All ULS projects except Metro's must meet the "Guidelines for LSCA Title III – Funded Retrospective Conversion Projects." Metro's project will continue to operate under the reimbursement rates established in the previous Union List of Serials Guidelines.

b. Retrospective Monograph Conversion

Applications for retrospective conversion of monographs must be linked to the regional database plan and must meet the current "Guidelines for LSCA

Title III – Funded Retrospective Conversion Projects."

2. Access

The Long Range Program commits us to linking databases. DLD expects to have in 1987 recommendations for a statewide automation plan. This report, the evaluation of NYLINE, and the evaluation of the interlibrary loan recommendations will guide DLD in setting priorities for the use of Title III funds for access projects.

Applications for access projects must be consistent with the regional plans developed under the Regional Bibliographic Databases program. DLD will not entertain requests for equipment intensive projects.

From 1976 to 1984, DLD provided subsidized search services through commercial databases for libraries throughout the State as a means of introducing these services through the systems. Grants therefore are not awarded to systems or regions for search services.

3. Continuing Education

Applications for projects such as workshops or conferences designed to assist in the continuing education of librarians particularly related to the resource sharing objective of Title III must involve participants from two or more types of libraries.

Guidelines for LSCA Title III Funded Retrospective Conversion Projects

March, 1987

BACKGROUND

The following guidelines have been established to assist library systems in New York State implement and administer LSCA-funded projects dealing with retrospective conversion of monographs, serials, and non-print materials. The purpose of the guidelines is to ensure (1) a common machine-readable record that conforms to the Library of Congress's MARC format for bibliographic data, CONSER and the ANSI/NISO standards for serials holdings; (2) the availability of those records in a prescribed format to the New York State Library; and (3) release of bibliographic data by participating library systems to the State Library.

The guidelines take into consideration prior guidelines and experience gained from completed and current retrospective conversion projects. Reimbursement rates for monographs, serials, and non-print materials are based on experience in past retrospective conversion projects funded by both LSCA and the Regional Data Base program, the increased demand for retrospective conversion projects, and the need to provide wider support with limited funding.

Effective with FY 1988, a certain amount of Title III grant funds will be set aside for projects involving retrospective conversion, whether of monographs, serials or non-print materials. In FY 1988 this amount will be no more than $400,000. Systems may apply for these funds for projects to convert identifiable collections which are composed primarily of unique and scarce records new to the statewide or regional database. Projects will be evaluated on the usefulness and value of those records to those databases, based on the justification provided in the application. Reimbursement for data entry of these records takes into account the generally higher cost of entering titles new to a database, but is not intended to cover the cost of original cataloging.

GUIDELINES

1) All applications for retrospective conversion must meet the following criteria:

   a) The project must benefit libraries of two or more types with evidence of co-endorsement from all which are participating. For projects sponsored by reference and research library resources systems, authentication by their boards, which include representation from all types of libraries, will suffice as evidence. For projects submitted by a public library system, authentication from its board as well as evidence of co-endorsement from the other types of libraries involved will be required.

b) Projects must improve statewide access to bibliographic and location information.

c) Bibliographic databases must be constructed to meet the information needs of all library users in the State. Access to bibliographic records may be through a regional center or system, by a local library or an individual.

Bibliographic access may be through an online terminal, microform, printed catalog, or videodisk.

d) Access to all library materials represented by records converted by the project, in accord with reasonable conditions, must be guaranteed either on site or through interlibrary loan by the owning library.

e) Data created or entered into a database through the use of these funds shall be available to the State Library without charge.

f) Data must adhere to standard formats:

- Monographic records must follow AACR2 and conform to the "I" level MARC format for bibliographic records.
- Serial records must conform to the "I" level MARC serial record as defined in OCLC and CONSER operating and editorial manuals. Serial holdings statements must conform to the ANSI/NISO standards for summary holdings statements.
- Non-Print records must follow AACR2 and conform to the "I" level MARC format for bibliographic records.
- Communication disciplines must meet the various appropriate national standards and must be approved by the State Library.

g) The project must be consistent with the region's five year plan for the Regional Bibliographic Data Base and Interlibrary Resources Sharing Program. A project submitted by a public library system must also be consistent with its long range plan.

h) The application must document the usefulness and value of the collection to the region and the State.

i) Collections selected should represent a fair balance of the total collections among the different types of libraries in the region.

2) The system administering a retrospective conversion project will be required to supply the State Library with standard format machine-readable tapes at cost and to sign all necessary releases as required by the contractor or bibliographic utility to provide machine-readable data in standard format to the State Library. Cost of acquiring or duplicating tapes, when required by the State Library, will be funded by the State Library.

3) Grant funding will consist of two components:

a) **Data Input.** Input of data in standard machine-readable format will be reimbursed at a fixed rate per title for monographs, serials, and for non-print materials, up to a maximum amount stated in the grant notification. The per title rate will be based on cost data documented in the application but will not exceed $5.00 per title. This amount is intended to offset personnel cost for data entry and charges of the utilities involved for retrospective conversion.

The exception to this data input rate will be Metro's Union List of Serials Project which will continue to operate under the reimbursement rates established in the previous Union List of Serials Guidelines.

b) **Special Components.** Consideration will be given to special components deemed

necessary for the first or last year of the project, but not for any years in between. Special components of a grant may include such items as acquisition of archival tapes and special editing or processing required to bring prior machine-readable records to an acceptable MARC/CONSER format.

4) Approval of final claims will be based on completion of the necessary number of records and all other grant conditions and requirements. A record summary by format (monographs, serials) will be required to verify total number of records converted, the number of records converted by each library, the number of libraries completed, total number of new records, and the number of new records by each library.

5) Funds are to be used to convert bibliographic records into machine-readable form on a one-time basis. A library which has converted a record into OCLC or RLIN or UTLAS will not be reimbursed for converting the same record into another bibliographic data base. This restriction does not apply to tapeloading a machine-readable tape from one database to another

6) The application must guarantee that the host library or library system will maintain records once converted, i.e., will assume responsibilities for additions, deletions, etc.

Consent to Release Data to New York State Library

_____
(Name of institution)

agrees to make available to the New York State Library all machine-readable data created by or used in this project, for use in systems to promote resource sharing. (Name of institution) further agrees to execute, at present or as required in the future, all forms or releases required by any bibliographic utility or database vendor to make such data available to the New York State Library.

It is understood by both the New York State Library and the signatory that the intent of this consent form is to provide for a release of data only, and does not imply any additional fiscal obligation for the signatory.

_____
Date

_____
Signature

_____
Name

_____
Title

_____
Institution

Additional Voluntary Consent to Share Future Data

_____
(Name of institution)

also agrees to make any machine-readable data generated as a continuation of the project, regardless of source of funding, available to the New York State Library for the same purpose.

_____
Signature

_____
Date

_____
Name

_____
Title

_____
Institution

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